

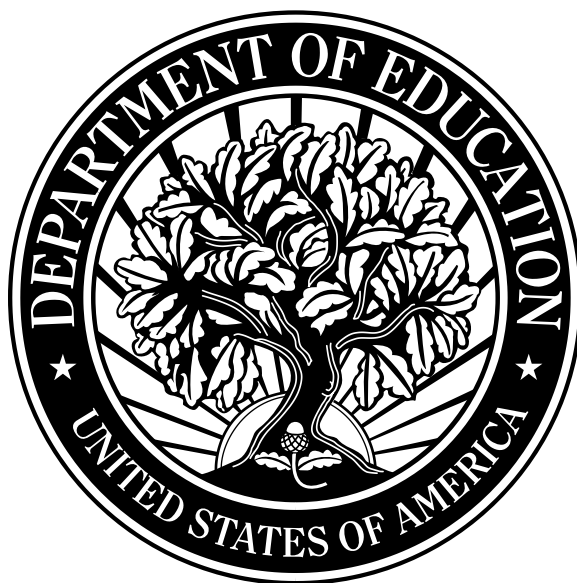
**U.S. DEPARTMENT OF EDUCATION  
OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES  
WASHINGTON, D.C. 20202-2800**

**2016 APPLICATION KIT FOR NEW GRANTS  
UNDER  
THE REHABILITATION SERVICES ADMINISTRATION**

**TRAINING OF INTERPRETERS FOR INDIVIDUALS WHO ARE DEAF OR HARD OF  
HEARING AND INDIVIDUALS WHO ARE DEAF-BLIND PROGRAM**

**EXPERIENTIAL LEARNING MODEL DEMONSTRATION CENTER FOR NOVICE  
INTERPRETERS AND BACCALAUREATE DEGREE ASL-ENGLISH INTERPRETATION  
PROGRAMS**

**CFDA 84.160C**



FORM APPROVED  
OMB No. 1820-0018, EXP. DATE: 07/31/2019  
ED FORM 424, OMB APPROVED

**DATED MATERIAL—OPEN IMMEDIATELY**

**CLOSING DATE: AUGUST 24, 2016**

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# **Section A**

## **Dear Applicant Letter**

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## REHABILITATION SERVICES ADMINISTRATION

Dear Applicant,

The Secretary invites applications for new awards for fiscal year (FY) 2016 under the Training for Individuals who are Deaf, Hard of Hearing, and Deaf-Blind program (CFDA 84.160C).

Under this program, the Department will fund a cooperative agreement for the establishment of an **Experiential Learning Model Demonstration Center for Novice Interpreters and Baccalaureate Degree American Sign Language (ASL)-English Interpretation Programs**. The purpose of the Center is to: (1) develop an experiential learning program that could be implemented through baccalaureate degree ASL-English programs or through partner organizations, such as community-based organizations, advocacy organizations, or commissions for the deaf or deaf-blind that work with baccalaureate degree ASL-English programs to provide work experiences and mentoring; (2) pilot the experiential learning program in three baccalaureate degree ASL-English programs and evaluate the results; and (3) disseminate practices that are promising or supported by evidence, examples, and lessons learned.

As a first step in the application process, we strongly encourage applicants to thoroughly review the Notice of Final Priority and the Notice Inviting Applications (Sections B and C of this application package). In particular, the Notice of Final Priority responds to public comments and provides further guidance and clarification about the Experiential Learning program.

Please also take time to carefully review the applicable requirements, definitions, selection criteria, and all of the instructions contained in this package. An application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or if the application does not contain the information required (EDGAR 75.216 (b) and (c)). Applicants are strongly advised not to wait until the last day to submit an application due to the possibility of technical difficulties or other issues.

If an applicant procures the service of a consultant or grant writer to assist in the preparation of the application, we strongly suggest that any individuals who may be responsible for implementing and managing key program and financial activities upon award are directly involved in the development process.

Please note the following:

- **Eligible Applicants:** Baccalaureate degree ASL-English interpretation programs that are recognized and accredited by the Commission on Collegiate Interpreter Education (CCIE) are eligible to apply as lead applicants in the consortium. States and public or nonprofit agencies and organizations, including institutions of higher education, such as baccalaureate degree ASL-English interpretation programs that are not CCIE accredited, are not eligible to be lead applicants but are eligible to be members of the consortium.
- **Pre-Application Teleconference:** Interested parties are invited to participate in a pre-application teleconference with staff from the Department at **3:00 p.m. on Thursday July 28, 2016. The teleconference number is: 866-805-1443, and the passcode is: 4728857.** RSA will send out a transcript of the teleconference via List Serv. We will also make the transcript available on the National Clearinghouse of Rehabilitation Training Materials (NCRTM) at : NCRTM@ed.gov

The purpose of the teleconference is to respond to applicant questions. Interested parties are invited to submit questions in advance to the following email address: **TSPDgrants@ed.gov**. **In the subject line of the email, please insert the text “CFDA 84.160C”**. In preparation for the teleconference, applicants are advised to review the Notice of Final Priority and Notice Inviting Applications.

- **Cooperative Agreement:** The Department will award this grant as a cooperative agreement as permitted by 34 CFR 75.200 (b) (4). A cooperative agreement is a grant; however, in a cooperative agreement, there is substantial involvement between the executive agency (in this case the Department of Education) and the recipient during the grant period of performance. Upon award, RSA and the grant recipient will work together to develop this agreement.
- **Grant start date:** An award will be made on or before September 30, 2016. **The official start date of the award will be January 3, 2017**. A grantee may incur expenses for allowable purchases and activities before the funding period begins as authorized by EDGAR 75.707(h) and 2 CFR 200.458. Examples of legitimate pre-award costs in a grant project can include: 1) engaging a consultant to do work directly related to the project's success, which must be done before the start; 2) buying equipment before the beginning date in order to receive a concessionary price from a vendor; and traveling for ED-sponsored conferences that occur before the start of the project period (excerpted from section 4.4.4 of the Department's Discretionary Grant Handbook).
- **Pre-award costs for time period up to 90 calendar days before the beginning of an award period:** If ED learns that an applicant or grantee intends to incur allowable project costs within 90 days before a new grant, ED does not need to take any action for the costs to be allowable. The grantee already has authority to do so under 75.263 of EDGAR and 2 CFR 200.308. However, if a grantee informs ED that it plans to incur pre-award costs within the 90-day period, **the grantee incurs these costs at its own risk. ED may decide to disallow pre-award costs, even if the applicant or grantee incurs them within 90 days before the beginning of the budget period.** For example, the applicant might attempt to use the funds for costs outside the scope and objectives of the project. In such cases, ED would prohibit the grantee from exercising their automatic authority by appending grant award notification Attachment 15, "Prior Approval Requirements", available in G5 to the GAN and checking the appropriate box to deny pre-award costs or disapproving a grantees' written request in a written response (excerpted from section 4.4.4 of the Department's Discretionary Grant Handbook).
- **Application Submission:** Please note all applications for grants under this competition **must** be submitted electronically using Grants.gov. The requirements are briefly described after this letter and include helpful tips about submitting an application electronically using the Grants.gov Apply site. Complete instructions are included in the Federal Register Notice under IV. **Other Submission Requirements** (The Notice Inviting Applications for New Awards can be found in Section B of this application package).

When using the electronic grants process, **it is imperative that you do not wait until the last minute** to submit your grant application. Please note that you must follow the Application Procedures as described in the Federal Register notice announcing this grant competition. Information (including dates and times) about how to submit your application electronically can also be found in Section F of this application package, **Please Read First**.

- Data Universal Numbering System (DUNS), Taxpayer Identification Number (TIN), and System for Awards Management (SAM): In order to do business with the Department of Education, you must have a DUNS number and a TIN number, as well as be registered in SAM. The complete instructions are included in the Federal Register Notice under IV. **Application and Submission Information** (See Section B) and in this application package.
- Abstract: Applications must include a one-page double-spaced abstract. The abstract is a critical component of the application it must contain:
  - (1) Name of applicant (institution applying for award, not the individual submitting the application);
  - (2) Overview statement highlighting the purpose of the project, target population, proposed number of individuals to be served each year, goals and objectives, target population, and expected outcomes of the project;
  - (3) City and state where the institution is located;
  - (4) The congressional district where the institution is located (number); and
  - (5) The name of the principle project director and the percentage of time the director will manage the project.
- Selection Criteria: The program narrative **must address each selection criteria** as described in Section E of this application package. Failure to do so will put your application at a significant disadvantage. To facilitate the peer review process, **the narrative should address the selection criteria in the order that the criteria are listed**. We provided an explanation for each criterion to help guide you in adequately addressing
- Budget Forms: All applicants for multi-year projects are required to provide detailed budget information for **each year** of the total grant period requested (up to 60 months). The ED Form 524, Section I, requires a Budget Narrative for each year of the total grant period requested (up to 60 months). The Department will address funding level requests of successful applicants for each year of the grant award and make appropriate funding recommendations in accordance with the availability of funds.
- Match: The Federal share is 90 percent of the total cost of the project. Enter the Federal share of the project in Section A of the Budget Summary ED Form 524. The mandatory non-Federal share (Match) is 10 percent of **the total cost of the project** and contributions may be provided in cash or in-kind. Match is calculated by dividing the requested Federal share by 9 and the result equals the required match. Enter the match on Section B of the Budget Summary ED Form 524 and provide a budget narrative to describe the match.
- Program Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 81, 82, 84, 86, and 99. (b) The Office of Management and Budget (OMB) Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485. (c) The Uniform

Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and amended as regulations of the Department in 2 CFR part 3474. (d) The regulations for this program in 34 CFR part 396. (e) The Notice of Final Priority.

If you have any questions about the information in this application kit, please contact the RSA Competition Manager, Kristen Rhinehart-Fernandez, at (202) 245-6103 or by email at [Kristen.Rhinehart@ed.gov](mailto:Kristen.Rhinehart@ed.gov). If you use a TDD, call the Federal Relay Service, toll free, at 1 (800) 877-8339. **The alternative point of contact for this competition is Ms. RoseAnn Ashby, Chief, Training Programs Unit, at (202) 245-7258 or by email at [roseann.ashby@ed.gov](mailto:roseann.ashby@ed.gov).**

Sincerely,

/s/

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Thomas E. Finch, Ph.D.  
Director, Training and Service  
Programs Division

Section B  
Notice Inviting Applications  
For New Awards

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4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; Training of Interpreters for  
Individuals Who Are Deaf or Hard of Hearing and Individuals  
Who Are Deaf-Blind Program

AGENCY: Office of Special Education and Rehabilitative  
Services, Department of Education.

ACTION: Notice.

Overview Information:

Training of Interpreters for Individuals Who Are Deaf or  
Hard of Hearing and Individuals Who Are Deaf-Blind Program  
Notice inviting applications for new awards for fiscal year  
(FY) 2016.

Catalog of Federal Domestic Assistance (CFDA) Number:  
84.160C.

Dates:

Applications Available: July 25, 2016.

Deadline for Transmittal of Applications: August 24, 2016.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: Under the Rehabilitation Act of 1973  
(Rehabilitation Act), as amended by the Workforce  
Innovation and Opportunity Act, the Rehabilitation Services  
Administration (RSA) makes grants to public and private

nonprofit agencies and organizations, including institutions of higher education, to establish interpreter training programs or to provide financial assistance for ongoing interpreter training programs to train a sufficient number of qualified interpreters throughout the country. The grants are designed to train interpreters to effectively interpret and transliterate using spoken, visual, and tactile modes of communication; ensure the maintenance of the interpreting skills of qualified interpreters; and provide opportunities for interpreters to improve their skills in order to meet both the highest standards approved by certifying associations and the communication needs of individuals who are deaf or hard of hearing and individuals who are deaf-blind.

Priority: This priority is from the notice of final priority for this program published elsewhere in this issue of the Federal Register (NFP).

Absolute Priority: For FY 2016, this priority is an absolute priority. Under 34 CFR 75.105(c)(3), we consider only applications that meet this priority.

This priority is:

Experiential Learning Model Demonstration Center for Novice Interpreters and Baccalaureate Degree ASL-English Interpretation Programs.

Program Authority: 29 U.S.C. 772(f).

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 81, 82, 84, 86, and 99. (b) The Office of Management and Budget (OMB) Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485. (c) The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and amended as regulations of the Department in 2 CFR part 3474. (d) The regulations for this program in 34 CFR part 396. (e) The NFP.

## II. Award Information

Type of Award: Cooperative agreement.

Estimated Available Funds: \$800,000.

Estimated Number of Awards: 1.

Note: The Department is not bound by any estimates in this notice.

Note: Under 34 CFR 75.562(c), an indirect cost reimbursement on a training grant is limited to the recipient's actual indirect costs, as determined by its negotiated indirect cost rate agreement, or eight percent of a modified total direct cost base, whichever amount is

less. Indirect costs in excess of the limit may not be charged directly, used to satisfy matching or cost-sharing requirements, or charged to another Federal award.

Project Period: Up to 60 months.

Continuing the Fourth and Fifth Years of the Project: In deciding whether to continue funding the Training of Interpreters for Individuals Who Are Deaf or Hard of Hearing and Individuals Who Are Deaf-Blind program for the fourth and fifth years, the Department will conduct a one-day intensive review meeting during the third quarter of the third year of the project period. Specific details of this review and evaluation criteria will be established in the cooperative agreement.

### III. Eligibility Information

1. Eligible Applicants: Baccalaureate degree ASL-English interpretation programs that are recognized and accredited by the Commission on Collegiate Interpreter Education (CCIE) are eligible to apply as lead applicants in the consortium. States and public or nonprofit agencies and organizations, including institutions of higher education, such as baccalaureate degree ASL-English interpretation programs that are not CCIE accredited, are not eligible to be lead applicants but are eligible to be members of the consortium.

2. Cost Sharing or Matching: The Commissioner may award grants to public or private nonprofit agencies or organizations to pay part of the costs for interpreter training programs (section 302(f)(1)(A) of the Rehabilitation Act of 1973). Therefore, in order to be considered for funding, applicants must identify in the application budget and budget narrative a 10 percent match towards the total cost of the project. In order to calculate match, applicants may use the match-calculator available at: <https://rsa.ed.gov/match-calculator.cfm>.

#### IV. Application and Submission Information

1. Address to Request Application Package: You can obtain an application package via the Internet or from the Education Publications Center (ED Pubs). To obtain a copy via the Internet, use the following address: [www.ed.gov/fund/grant/apply/grantapps/index.html](http://www.ed.gov/fund/grant/apply/grantapps/index.html). To obtain a copy from ED Pubs, write, fax, or call: ED Pubs, U.S. Department of Education, P.O. Box 22207, Alexandria, VA 22304. Telephone, toll free: 1-877-433-7827. FAX: (703) 605-6794. If you use a telecommunications device for the deaf (TDD) or a text telephone (TTY), call, toll free: 1-877-576-7734.

You can contact ED Pubs at its Web site, also: [www.EDPubs.gov](http://www.EDPubs.gov) or at its email address:

edpubs@inet.ed.gov.

If you request an application package from ED Pubs, be sure to identify this program or competition as follows:  
CFDA number 84.160C.

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) by contacting the person or team listed under Accessible Format in section VIII of this notice.

2. Content and Form of Application Submission:

Requirements concerning the content and form of an application, together with the forms you must submit, are in the application package for this competition.

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. Because of the limited time available to review applications and make a recommendation for funding, we strongly encourage applicants to limit the application narrative to no more than 60 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.

- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

In addition to the page-limit guidance on the application narrative section, we recommend that you adhere to the following page limits, using the standards listed above: (1) the abstract should be no more than one page, (2) the resumes of key personnel should be no more than two pages per person, and (3) a bibliography should be no more than three pages. Appendix A must include: (1) a logic model; (2) a Memorandum of Understanding or a Letter of Intent between the lead applicant, members of the consortium, other proposed training and TA providers, and other relevant partners; (3) a conceptual framework for the project; and (4) person-loading charts and timelines. There are no page limits or standards for

materials in Appendix A. The only optional materials that will be accepted are letters of support. Please note that our reviewers are not required to read optional materials.

Please note that any funded applicant's application abstract will be made available to the public.

3. Submission Dates and Times:

Applications Available: July 25, 2016.

Date of Pre-Application : Interested parties are invited to submit questions to the following email address:

TSPDgrants@ed.gov. In the subject line of the email, please insert the text "CFDA 84.160C". Interested parties are invited to participate in a pre-application teleconference with staff from the Department at 3:00 p.m. on July 28, 2016. The teleconference number is: 800-369-1883, and the passcode is: 2888105. For further information about the pre-application teleconference, contact the person listed under For Further Information Contact in section VII of this notice.

Deadline for Transmittal of Applications: August 24, 2016.

Applications for grants under this competition must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an



exception to the electronic submission requirement, please refer to Other Submission Requirements in section IV of this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII of this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

Deadline for Intergovernmental Review: October 24, 2016.

4. Intergovernmental Review: This competition is subject to Executive Order 12372 and the regulations in 34 CFR part 79. However, under 34 CFR 79.8(a), we waive intergovernmental review in order to make an award by the end of FY 2016.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Data Universal Numbering System Number, Taxpayer Identification Number, and System for Award Management: To

do business with the Department of Education, you must--

- a. Have a Data Universal Numbering System (DUNS) number and a Taxpayer Identification Number (TIN);
- b. Register both your DUNS number and TIN with the System for Award Management (SAM), the Government's primary registrant database;
- c. Provide your DUNS number and TIN on your application; and
- d. Maintain an active SAM registration with current information while your application is under review by the Department and, if you are awarded a grant, during the project period.

You can obtain a DUNS number from Dun and Bradstreet at the following Web site: <http://fedgov.dnb.com/webform>. A DUNS number can be created within one to two business days.

If you are a corporate entity, agency, institution, or organization, you can obtain a TIN from the Internal Revenue Service. If you are an individual, you can obtain a TIN from the Internal Revenue Service or the Social Security Administration. If you need a new TIN, please allow two to five weeks for your TIN to become active.

The SAM registration process can take approximately seven business days, but may take upwards of several weeks, depending on the completeness and accuracy of the data you enter into the SAM database. Thus, if you think you might want to apply for Federal financial assistance under a program administered by the Department, please allow sufficient time to obtain and register your DUNS number and TIN. We strongly recommend that you register early.

Note: Once your SAM registration is active, it may be 24 to 48 hours before you can access the information in, and submit an application through, Grants.gov.

If you are currently registered with SAM, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct. Also note that you will need to update your registration annually. This may take three or more business days.

Information about SAM is available at [www.SAM.gov](http://www.SAM.gov). To further assist you with obtaining and registering your DUNS number and TIN in SAM or updating your existing SAM account, we have prepared a SAM.gov Tip Sheet, which you can find at: <http://www2.ed.gov/fund/grant/apply/sam-faqs.html>.

In addition, if you are submitting your application via Grants.gov, you must (1) be designated by your

organization as an Authorized Organization Representative (AOR); and (2) register yourself with Grants.gov as an AOR. Details on these steps are outlined at the following Grants.gov Web page:  
[www.grants.gov/web/grants/register.html](http://www.grants.gov/web/grants/register.html).

7. Other Submission Requirements: Applications for grants under this competition must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

- (a) a. Electronic Submission of Applications.
- (b) Applications for grants under the Training of Interpreters for Individuals Who Are Deaf or Hard of Hearing and Individuals Who Are Deaf-Blind Program must be submitted electronically using the Governmentwide Grants.gov Apply site at [www.Grants.gov](http://www.Grants.gov). Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not email an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than

two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for the Training of Interpreters for Individuals Who Are Deaf or Hard of Hearing and Individuals Who Are Deaf-Blind Program at [www.Grants.gov](http://www.Grants.gov). You must search for the downloadable application package for this competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.160, not 84.160C).

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not accept your

application if it is received--that is, date and time stamped by the Grants.gov system--after 4:30:00 p.m., Washington, DC time, on the application deadline date. We do not consider an application that does not comply with the deadline requirements. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30:00 p.m., Washington, DC time, on the application deadline date.

- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov under News and Events on the Department's G5 system home page at [www.G5.gov](http://www.G5.gov). In addition, for specific guidance and procedures for submitting an application

through Grants.gov, please refer to the Grants.gov Web site at: [www.grants.gov/web/grants/applicants/apply-for-grants.html](http://www.grants.gov/web/grants/applicants/apply-for-grants.html).

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.

- You must upload any narrative sections and all other attachments to your application as files in a read-only, non-modifiable Portable Document Format (PDF). Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF (e.g., Word, Excel, WordPerfect, etc.) or submit a password-protected file, we will not review that material. Please note that this could result in your application not

being considered for funding because the material in question--for example, the project narrative--is critical to a meaningful review of your proposal. For that reason, it is important to allow yourself adequate time to upload all material as PDF files. The Department will not convert material from other formats to PDF.

- Your electronic application must comply with any page-limit requirements described in this notice.

- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. This notification indicates receipt by Grants.gov only, not receipt by the Department. Grants.gov will also notify you automatically by email if your application met all the Grants.gov validation requirements or if there were any errors (such as submission of your application by someone other than a registered Authorized Organization Representative or inclusion of an attachment with a file name that contains special characters). You will be given an opportunity to correct any errors and resubmit, but you must still meet the deadline for submission of applications.

Once your application is successfully validated by Grants.gov, the Department will retrieve your application



from Grants.gov and send you an email with a unique PR/Award number for your application.

These emails do not mean that your application is without any disqualifying errors. While your application may have been successfully validated by Grants.gov, it must also meet the Department's application requirements as specified in this notice and in the application instructions. Disqualifying errors could include, for instance, failure to upload attachments in a read-only, non-modifiable PDF; failure to submit a required part of the application; or failure to meet applicant eligibility requirements. It is your responsibility to ensure that your submitted application has met all of the Department's requirements.

- We may request that you provide us original signatures on forms at a later date.
- Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System: If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.
- If you are prevented from electronically submitting your application on the application deadline date because

of technical problems with the Grants.gov system, we will grant you an extension until 4:30:00 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically or by hand delivery. You also may mail your application by following the mailing instructions described elsewhere in this notice.

- If you submit an application after 4:30:00 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section VII of this notice and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that the problem affected your ability to submit your application by 4:30:00 p.m., Washington, DC time, on the application deadline date. We will contact you after we determine whether your application will be accepted.

- Note: The extensions to which we refer in this section apply only to the unavailability of, or technical problems with, the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the application deadline

date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the Grants.gov system because--

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Grants.gov system;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevents you from using the Internet to submit your application.

If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application

deadline date.

Address and mail or fax your statement to: Kristen Rhinehart-Fernandez, U.S. Department of Education, 400 Maryland Avenue, SW., room 5062, Potomac Center Plaza, Washington, DC 20202-2800. FAX: (202) 245-7591.

Your paper application must be submitted in accordance with the mail or hand-delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.160C)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.

(3) A dated shipping label, invoice, or receipt from a commercial carrier.

(4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

(1) A private metered postmark.

(2) A mail receipt that is not dated by the U.S. Postal Service.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

We will not consider applications postmarked after the application deadline date.

c. Submission of Paper Applications by Hand Delivery.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.160C)

550 12th Street, SW.  
Room 7039, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

#### V. Application Review Information

1. Selection Criteria: The selection criteria for this competition are from 34 CFR 75.210 of EDGAR and are listed in the application package.

2. Review and Selection Process: We remind potential applicants that in reviewing applications in any discretionary grant competition, the Secretary may consider, under 34 CFR 75.217(d)(3), the past performance of the applicant in carrying out a previous award, such as the applicant's use of funds, achievement of project objectives, and compliance with grant conditions. The Secretary may also consider whether the applicant failed to submit a timely performance report or submitted a report of unacceptable quality.

In addition, in making a competitive grant award, the Secretary requires various assurances including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department of Education (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

3. Risk Assessment and Special Conditions: Consistent with 2 CFR 200.205, before awarding grants under this competition, the Department conducts a review of the risks posed by applicants. Under 2 CFR 3474.10, the Secretary may impose special conditions and, in appropriate circumstances, high-risk conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or

other management system that does not meet the standards in 2 CFR part 200, subpart D; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

4. Integrity and Performance System: If you are selected under this competition to receive an award that over the course of the project period may exceed the simplified acquisition threshold (currently \$150,000), under 2 CFR 200.205(a)(2) we must make a judgment about your integrity, business ethics, and record of performance under Federal awards--that is, the risk posed by you as an applicant--before we make an award. In doing so, we must consider any information about you that is in the integrity and performance system (currently referred to as the Federal Awardee Performance and Integrity Information System (FAPIIS)), accessible through SAM. You may review and comment on any information about yourself that a Federal agency previously entered and that is currently in FAPIIS.

Please note that, if the total value of your currently active grants, cooperative agreements, and procurement contracts from the Federal Government exceeds \$10,000,000, the reporting requirements in 2 CFR part 200, Appendix XII, require you to report certain integrity information to FAPIIS semiannually. Please review the requirements in 2



CFR part 200, Appendix XII, if this grant plus all the other Federal funds you receive exceed \$10,000,000.

## VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN), or we may send you an email containing a link to access an electronic version of your GAN. We may notify you informally, also.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: (a) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the

reporting requirements in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110(b).

(b) At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multiyear award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to [www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).

(c) Under 34 CFR 75.250(b), the Secretary may provide a grantee with additional funding for data collection analysis and reporting. In this case, the Secretary establishes a data collection period.

4. Performance Measures: The Government Performance and Results Act of 1993 (GPRA) directs Federal departments and agencies to improve the effectiveness of their programs by engaging in strategic planning, setting outcome-related goals for programs, and measuring program results against those goals.

The performance measures for this program are as follows:

(1) The number of individuals enrolled in the experiential learning program, by cohort.

(2) The average length of time each individual interacted with the local deaf community, by cohort.

(3) The number and percentage of individuals who successfully complete the experiential learning program, by cohort.

(4) The number and percentage of individuals who successfully pass the National Interpreter Certification test, by cohort.

(5) The average length of time for each individual to successfully pass the National Interpreter Certification test, by cohort.

5. Continuation Awards: In making a continuation award under 34 CFR 75.253, the Secretary considers, among other things: whether a grantee has made substantial progress in achieving the goals and objectives of the project; whether the grantee has expended funds in a manner that is consistent with its approved application and budget; and, if the Secretary has established performance measurement requirements, the performance targets in the grantee's approved application.

In making a continuation award, the Secretary also considers whether the grantee is operating in compliance

with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

#### VII. Agency Contact

For Further Information Contact: Kristen Rhinehart-Fernandez, U.S. Department of Education, 400 Maryland Avenue, SW., room 5062, Potomac Center Plaza, Washington, DC 20202-2800. Telephone: (202) 245-6103 or by email: Kristen.Rhinehart@ed.gov.

If you use a TDD or a TTY, call the Federal Relay Service, toll free, at 1-800-877-8339.

#### VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) on request to the program contact person listed under For Further Information Contact in section VII of this notice.

Electronic Access to This Document: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is

available via the Federal Digital System at:  
www.gpo.gov/fdsys. At this site, you can view this  
document, as well as all other documents of this Department  
published in the Federal Register, in text or Portable  
Document Format (PDF). To use PDF you must have Adobe  
Acrobat Reader, which is available free at the site.

You may also access documents of the Department  
published in the Federal Register by using the article  
search feature at: www.federalregister.gov. Specifically,  
through the advanced search feature at this site, you can  
limit your search to documents published by the Department.

Dated:

\_\_\_\_\_/s/  
Sue Swenson,  
Acting Assistant Secretary for  
Special Education and  
Rehabilitative Services.

## Section C

### Notice of Final Priority

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4000-01-U

DEPARTMENT OF EDUCATION

34 CFR Chapter III

[Docket ID ED-2016-OSERS-0005]

Final priority--Training of Interpreters for Individuals Who  
Are Deaf or Hard of Hearing and Individuals Who Are Deaf-  
Blind Program

[CFDA Number: 84.160C.]

AGENCY: Office of Special Education and Rehabilitative  
Services, Department of Education.

ACTION: Final priority.

SUMMARY: The Assistant Secretary for Special Education and  
Rehabilitative Services announces a final priority under  
the Training of Interpreters for Individuals Who Are Deaf  
or Hard of Hearing and Individuals Who Are Deaf-Blind  
program. The Assistant Secretary may use this priority for  
competitions in fiscal year 2016 and later years. We take  
this action to provide training and technical assistance to  
better prepare novice interpreters to become highly  
qualified nationally certified sign language interpreters.

EFFECTIVE DATE: August 24, 2016.

FOR FURTHER INFORMATION CONTACT: Kristen Rhinehart-  
Fernandez, U.S. Department of Education, 400 Maryland  
Avenue, SW., room 5062, Potomac Center Plaza (PCP),

Washington, DC 20202-2800. Telephone: (202) 245-6103 or  
by email: Kristen.Rhinehart@ed.gov.

If you use a telecommunications device for the deaf  
(TDD) or a text telephone (TTY), call the Federal Relay  
Service (FRS), toll free, at 1-800-877-8339.

SUPPLEMENTARY INFORMATION:

Purpose of Program: Under the Rehabilitation Act of 1973  
(Rehabilitation Act), as amended by the Workforce  
Innovation and Opportunity Act (WIOA), the Rehabilitation  
Services Administration (RSA) makes grants to public and  
private nonprofit agencies and organizations, including  
institutions of higher education, to establish interpreter  
training programs or to provide financial assistance for  
ongoing interpreter training programs to train a sufficient  
number of qualified interpreters throughout the country.  
The grants are designed to train interpreters to  
effectively interpret and transliterate using spoken,  
visual, and tactile modes of communication; ensure the  
maintenance of the interpreting skills of qualified  
interpreters; and provide opportunities for interpreters to  
improve their skills in order to meet both the highest  
standards approved by certifying associations and the  
communication needs of individuals who are deaf or hard of  
hearing and individuals who are deaf-blind.



Program Authority: 29 U.S.C. 772(f).

Applicable Program Regulations: 34 CFR part 396.

We published a notice of proposed priority (NPP) for this competition in the Federal Register on April 7, 2016 (81 FR 20268). That notice contained background information and our reasons for proposing the particular priority.

Public Comment: In response to our invitation in the NPP, 26 parties submitted comments on the proposed priority. Generally, we do not address technical and other minor changes, or suggested changes the law does not authorize us to make under the applicable statutory authority. In addition, we do not address general comments that raised concerns not directly related to the proposed priority.

Analysis of Comments and Changes: An analysis of the comments and of any changes in the priority since publication of the NPP follows.

*State-level certification or licensure*

Comment: A few commenters suggested broadening the proposed outcomes for the Experiential Learning Model Demonstration Center (Center) beyond national certification to include State-level certification or licensure. These commenters noted that, in some States, the State certification system is used to prepare interpreters for

advancement to national-level certification. Other States use the Educational Interpreter Performance Assessment (EIPA) and the Board for Evaluation of Interpreters (BEI) for certification or licensure to offer interpreting services within the State. Finally, one commenter stated that acknowledging the variability in State-to-State licensure and certification requirements is essential in meeting the goal of novice interpreters in the experiential learning program achieving national certification.

Discussion: One goal of this program is to increase the number and quality of nationally certified interpreters. We do not agree that modification of the proposed outcomes to include State-level certification or licensure is appropriate for the Center.

First, designating national certification as a desired outcome for novice interpreters in the experiential learning program will ensure consistency in the training of these interpreters, as well as the competencies these interpreters will possess by the end of the training period. This will also ensure that novice interpreters will effectively meet the evolving needs of youth and adults in the United States who are deaf and hard of hearing or are deaf-blind, including those who are consumers of the Vocational Rehabilitation (VR) system.

Second, there is limited information available on the reliability and validity of assessments used by States to confer certifications and licensures. For example, in some cases, an individual pays a fee to receive a license to work as an interpreter in a State, regardless of skill or competency. In other cases, assessments, such as the BEI, are State specific, and there is no information about how the specific levels of skills and competencies they assess compare with the level of skills and competencies required to pass other State-level licensure tests, let alone the national interpreter certification exam. Conversely, national certification assessments have undergone psychometric evaluation to ensure consistency, reliability, and validity of results.

Finally, the EIPA does not apply to the training we intend to be offered by the Center. The EIPA focuses on interpreting competencies that are necessary to effectively interpret in elementary and secondary general education settings. We intend for the Center to train interpreters with specific competencies that are necessary to effectively interpret for youth and adults who are deaf<sup>1</sup> or

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<sup>1</sup> As used in this notice, the word "deaf" refers to (1) "deaf" and "Deaf" people, i.e. to the condition of deafness; (2) to "deaf, hard of hearing, and Deaf-Blind"; and (3) to individuals who are culturally Deaf and who use American Sign Language (ASL). When we use "Deaf," we refer only to the third group.

hard of hearing and individuals who are deaf-blind, including those who are VR consumers in transition from school to post-school activities in postsecondary education, employment, and community settings. None of this, however, prohibits applicants from using State certification or licensure as an internal benchmark, if applicable, for tracking participant progress towards achieving national certification.

Change: None.

*Prospective applicants*

Comment: Many commenters addressed the proposed requirement that the lead applicant must be accredited by the Commission on Collegiate Interpreter Education (CCIE). Many commenters recommended removing this requirement because (1) CCIE accreditation is voluntary, (2) CCIE is not accredited by the Council for Higher Education Accreditation (CHEA), which is the body that accredits and sets standards for organizations that review and accredit higher education programs, and (3) attending a CCIE accredited interpreter education program is not a requirement for becoming a credentialed interpreter.

Several other commenters were concerned that the requirement would limit the pool of eligible applicants because only about one-third of 45 baccalaureate

interpreting programs nationwide are CCIE accredited. In addition, there are five CCIE accredited associate of the arts (AA) degree interpreting programs.

A few commenters stated that the proposed requirement would mean that programs on the path to accreditation, private entities that do not possess or have such accreditation available to them, and non-CCIE accredited programs offering rigorous, high-quality instruction in American Sign Language (ASL)-English interpretation would not be eligible to serve as a lead applicant.

Several commenters stated that CCIE accreditation standards do not include several areas that are significant to the proposed priority, including accessibility of, access to, interaction with, and immersion in the Deaf community; having an available Deaf population to promote student training; and standards such as ASL fluency.

One commenter estimated the cost of accreditation from CCIE at \$10,000 or more and noted that some organizations are not in a position to support CCIE-related costs at this time.

Finally, one commenter suggested that CCIE accreditation be considered as a secondary qualification, rather than a requirement for the lead applicant.

Discussion: We believe the proposed requirement for the lead applicant to be accredited by CCIE aligns with the goal of the Center to improve the quality of interpreters nationwide and therefore should be maintained in the priority.

While we recognize CCIE is not accredited by CHEA, we do not believe this will adversely impact the lead applicant's ability to effectively design and implement this Center because each accreditation has a different purpose. CHEA focuses on the quality of higher education institutions and programs in order for the public to know that an institution or program provides an overall quality education.

By contrast, the mission of CCIE is focused specifically on professionalism in the field of interpreter education through the accreditation of professional preparation programs, the development and revision of interpreter education standards, the encouragement of excellence in program development, a national and international dialogue on the preservation and advancement of standards in the field of interpreter and higher education, and the application of knowledge, skills, and ethics of the profession. There are currently 13 CCIE-

accredited programs<sup>2</sup> across the country that would meet the lead applicant requirement for this competition. At present, CCIE is the only entity in the field of interpreter education that measures the standards of interpreter education programs.

We recognize that these standards are the minimum requirements for CCIE accreditation and a program may exceed these standards in many areas, including those indicated by the comments. One of the goals of the Center is to increase accessibility of and access to interaction and immersion in the Deaf community, having an available Deaf population to promote student training, and standards such as ASL fluency. As such, we believe the requirements in the priority support this goal.

We acknowledge that CCIE accreditation is voluntary and that attending a CCIE-accredited interpreter education program is not a requirement for becoming a credentialed interpreter. However, we believe that the interpreter education program should be accredited. The Center is then better positioned to incorporate interpreter education standards into the design and delivery of training and to evaluate its effectiveness in increasing the number of certified interpreters.

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<sup>2</sup> [www.discoverinterpreting.com/?Find\\_an\\_ASLEnglish\\_Interpretering\\_program](http://www.discoverinterpreting.com/?Find_an_ASLEnglish_Interpretering_program).

While non-CCIE accredited baccalaureate degree English-ASL programs are not eligible as the lead applicant, they may serve as members of the consortium. We respect and value non-CCIE accredited programs offering rigorous, high-quality interpreter education. We are also sensitive to budgetary and other constraints that may limit institutions pursuing CCIE accreditation. We encourage eligible lead applicants to consider a number of appropriate entities, including high-quality non-CCIE accredited baccalaureate degree interpreter education programs, to carry out the work of the consortium.

Change: None.

*Consideration of other eligible applicants*

Comment: Some commenters suggested consideration of other eligible lead applicants or as members of the consortium such as AA programs, associate in applied sciences (AAS) programs, and master's degree interpreter education programs that prepare interpreter educators in addition to hosting baccalaureate degree programs that prepare students to work in kindergarten through grade 12 (K-12) settings upon graduation.

Discussion: The proposed priority did not specify that programs offering both a bachelor's and master's degree in interpreter education could serve as lead applicants if the



program holds CCIE accreditation. We agree that these programs should be eligible lead applicants and may also serve as members of the consortium, and we are revising the priority accordingly.

However, AA/AAS programs are not eligible lead applicants. Since July 2012, there has been an educational requirement for an individual to sit for the Registry of Interpreters for the Deaf National Interpreter Certification test. Specifically, candidates must possess, at a minimum, a bachelor's degree in any field or major, or a demonstrated educational equivalency. We want to ensure that, while the individuals served by the Center require additional skills training to be provided by the Center, they otherwise meet the requirements to sit for the National Certification examination.

Programs that prepare students to work in K-12 settings are not eligible lead applicants or members of the consortium because the focus of this program is to prepare novice interpreters to work in VR settings. We believe this focus was implied in the background section of the priority but recognize it was not clearly stated within the proposed priority. Therefore, we take this opportunity to provide further explanation to support the focus of this program.

The Workforce Innovation and Opportunity Act (WIOA) emphasizes support to transition-age youth and adults with disabilities through such activities as funding various VR services and training of qualified personnel. The final priority aligns with the WIOA framework by focusing on the training of qualified interpreters to work with transition-age youth and adults who are deaf, hard of hearing, or deaf-blind. Thus, programs that prepare students to work in K-12 settings are not eligible applicants or members of the consortium because WIOA funds do not support training of interpreters to work in K-12 settings, with the exception of transition services.

Change: Under the purpose of the priority, we have clarified that the Center must prepare novice interpreters to work in VR settings.

In paragraph (a) under "Establish a consortium" in the Project Activities section of the priority, we have clarified that an eligible consortium can be comprised of a designated lead applicant that operates both bachelor's and master's degree programs in interpreter education that are recognized and accredited by CCIE.

*Members of a consortium*

Comment: A number of commenters asked that we clarify which entities must be represented in the consortium. One

commenter recommended maintaining the proposed entities in order to gain the broadest analysis of effective models and practices possible.

In addition, commenters also stated that the entities participating in the consortium should be required to include individuals who are experienced and qualified interpreters, interpreter educators, trained mentors, and individuals who are deaf, as well as those who can model native (first language) fluency in ASL. One commenter stated that the most successful experiential learning programs include coaching, mentoring, and explicit instruction that focuses specifically on the skills for interacting in diverse cultural milieus.

Discussion: We agree that we need to clarify paragraph (b) under "Establish a consortium" and the types of entities that must be represented in the consortium. When we stated in the proposed priority that "members of the consortium must be staffed by or have access to experienced and certified interpreters, interpreter educators, and trained mentors with the capability in providing feedback and guidance to novice interpreters, and in serving as language models," we meant that members of the consortium must have on staff, or have access to, individuals who are deaf and who can model native (first language) fluency in ASL.

Applicants are encouraged to include in their consortium other appropriate entities such as VR agencies, community-based organizations, and State commissions. Applicants could develop at least one partnership with a community-based entity (for example, with a Commission for the Deaf that is knowledgeable and involved in the delivery of interpreter services), at least one partnership with industry or government agencies (e.g., State VR agencies or American Job Centers) and at least one partnership with post-secondary settings (e.g., universities that serve a large number of deaf and hard of hearing students). Each of these partnerships would yield different types of learning and coaching contexts and allow for dynamic application of new ideas and structures for possible replication. In addition, non-CCIE accredited baccalaureate degree English-ASL programs may serve as members of the consortium.

We agree that training for novice interpreters must include skills for interacting in diverse cultural milieus and, as such, members of the consortium must represent diverse linguistic and cultural minority backgrounds and be qualified to provide instruction on best practices for interpreting in diverse cultural and linguistic settings.

Change: In paragraph (b) under "Establish a consortium" in the Project Activities section of the priority, we clarified that members of the consortium must be staffed by or have access to experienced and certified interpreters, interpreter educators, individuals who are deaf, trained mentors, and first language models in ASL. We added that consortium members must represent diverse linguistic and cultural minority backgrounds and be qualified to provide instruction on best practices in interpreting in diverse cultural and linguistic settings.

*Consortium expectations in terms of cost match*

Comment: One commenter asked whether consortium members or other identified partners must contribute to the cost of implementation, either through direct or indirect contributions.

Discussion: The proposed priority did not address this question. The responsibility for costs associated with all aspects of the Center, such as program design, implementation, training activities, and evaluation, as well as oversight and management of the Center, will be determined and agreed upon by the lead applicant, members of the consortium, and other identified partners. This also applies to determining any direct or indirect costs or in-kind contributions made by the lead applicant, members

of the consortium, and other identified partners. The notice inviting applications will specify whether there is a cost-matching requirement and, if so, it will confirm the percentage of the match. Regardless of how the lead applicant, consortium members, and other identified partners determine shared costs, it is ultimately the responsibility of the lead applicant to meet the cost-matching requirement.

Change: None.

*Team comprised of native language users, qualified interpreters, and trained mentors*

Comment: We received several comments about the proposed requirement for the consortium to establish a team of native language users, qualified interpreters, and trained mentors to partner with novice interpreters during and after successful completion of the experiential learning program. Overall, commenters recommended maintaining separation of these positions but indicated a need for clear definitions, roles, responsibilities, and the training and qualifications necessary for each position within the team. Rather than the Department developing its own definitions, one commenter recommended the Department use applicable definitions developed by the Office of Personnel Management when defining the roles of these team

members. Two commenters stated that native language users not only include deaf individuals but also those individuals who have grown up using the language and are fluent in it (e.g., children of deaf adults). In addition to serving as language models, native language users should provide mentorship in linguistic and cultural competencies. Another commenter suggested combining the roles of native language user and trained mentor.

Discussion: We will not further specify who must be a member of the team to work with novice interpreters. We believe applicants are best suited to assemble an inclusive and appropriate team. Applicants may define team members and determine the roles, responsibilities, and qualifications of these positions. While we acknowledge that some roles among team members may be shared or combined, we expect, however, the team to include, at minimum, native language users, qualified interpreters, and trained mentors, as well as other appropriate members. By not requiring other specific team members, we will also avoid inadvertently excluding potential team members.

The Department acknowledges there are interpreter-related definitions available through other Federal agencies. However, we want to ensure that any interpreter-

related definitions are appropriate for the Center and align with the statute and regulations for this program.

In a notice of proposed rulemaking (NPRM) published in the Federal Register on April 16, 2015 (80 FR 20988), we proposed to amend the definition of a “qualified professional” to mean an individual who has (1) met existing certification or evaluation requirements equivalent to the highest standards approved by certifying associations; and (2) successfully demonstrated interpreting skills that reflect the highest standards approved by certifying associations through prior work experience.” The term “qualified interpreter” used throughout the proposed priority is synonymous with “qualified professional.” A notice of final rulemaking is anticipated to publish in late July.

Change: We replaced the term “qualified interpreter” with “qualified professional” for accuracy and consistency with our regulations. Under Training Activities, in paragraph (a)(1), we added that applicants must describe in their application the roles and responsibilities for each team member.

#### *Project timelines*

Comment: Commenters generally supported the proposed timeline to plan and design the curriculum, develop



training modules, and to implement a pilot experiential learning program within the first two years of the grant period. However, one commenter cautioned that expecting students to become ready-to-work interpreters by attending a four-year program is unrealistic. Another commenter reasoned that a sustainable program needs two to three years to design, implement, evaluate, revise, and continue implementation with three to four graduated cohorts in order to generate evidence of impact.

Discussion: We recognize that graduates from baccalaureate degree ASL-English interpreter training programs may not be immediately ready to work and that is why we are establishing a model demonstration center to better prepare novice interpreters to become nationally certified sign language interpreters. We also agree that adequate time is needed to analyze evidence and assess the program. One of the reasons for piloting the program in a single site by year two is to identify and resolve issues and challenges that may arise, as well as to make improvements to the content and delivery of the training based on feedback from the team working with the novice interpreters and the novice interpreters participating in the first pilot. This Center is a demonstration and, at the conclusion of the grant, we will assess program outcomes and determine

whether or not an experiential learning approach had an impact in improving the preparation of novice interpreters. For these reasons, we believe the proposed timelines are reasonable.

Change: None.

*Project activities*

Comment: Several commenters suggested that we include in the priority additional project activities that are associated with long-term success for ASL-English interpreters. Some examples of additional project activities included: (1) volunteer interpreting experiences pairing experienced interpreters who agree to volunteer with novice interpreters; (2) in-service training programs built around individualized skills development activities/modules determined after a comprehensive diagnostic assessment to increase novice practitioner performance; (3) scripted training exercises involving real-life scenarios with actors/mentors from the Deaf community; (4) curricular modifications and differentiation strategies to serve novice interpreters who are children of deaf adults (CODAs), particularly CODAs of color; (5) socialization with the Deaf community; and (6) field-based induction programs that employ more direct supervision of

work experiences than is typically available through mentorship.

- Discussion: Applicants must meet the minimum proposed project activities and may add or incorporate other specific activities, including the activities described in the comments, as appropriate, in order to strengthen the design, curriculum, and training developed and delivered by the Center. We encourage applicants to include in their proposed project any additional activities that they believe would improve the preparation of novice interpreters.

Change: None.

*Measures for assessing the improvement in interpreting skills of novice interpreters*

Comment: Several commenters suggested that, to assess outcomes more effectively and in a way that goes beyond self-reported "meaningfulness," we require in the priority the use of specific assessment tools to measure the improvement in interpreting skills of novice interpreters, such as diagnostic assessments/reviews; tools that address the proficiency of educational interpreters, such as the Educational Interpreter Performance Assessment (EIPA) developed by Boys Town National Research Hospital; assessments used by the American Council for Teaching

Foreign Languages, Texas Board for Evaluators of Interpreters, and Utah Interpreting Program; pre- and post-program scores on the American Sign Language Proficiency Inventory; or general assessment instruments like the Cultural Intelligence Scale, Intercultural Development Inventory, or other well-reviewed measures of intercultural competence. One commenter stated that measurement of instruction in core dispositions of novice interpreters is needed because without instruction in and measurement of elements of essential professional attributes, a novice interpreter may become more of a "language technician" but not a true mediator.

Discussion: We acknowledge there are several assessment tools that may be appropriate to measure the improvement in interpreting skills of novice interpreters, and we believe that applicants are better positioned to determine which tools are most appropriate for their proposed projects. Nothing in this priority prevents applicants from choosing to use any valid or reliable assessment tool to gauge the progress of novice interpreters. Any proposed instruments must be valid and reliable and the applicant must submit rationale to support the use of each instrument.

Change: We have added the requirements that any proposed instruments must be valid and reliable, and the applicant must submit rationale to support the use of each instrument, to paragraphs (b)(9) and (c) of the Training Activities section and paragraph (c)(1) in the Application Requirements section.

#### *Pilot sites*

Comment: A few commenters asked that we clarify which entities are eligible to be pilot sites. More specifically, one commenter noted that the proposed priority indicated in one place that a partner organization may be a pilot site, while providing in another place that the pilot site must be an existing baccalaureate degree ASL-English interpretation program.

Discussion: We agree there was an inconsistency in the proposed priority. The pilot site entity must be hosted by a baccalaureate degree ASL-English program. This is essential to the priority because we believe these specific programs demonstrate the ability to effectively recruit and select cohort participants, as well as track and evaluate participants. However, to provide applicants with more flexibility, we also want to clarify that applicants may either identify eligible pilot sites in their application or describe the process and criteria they will use to

identify eligible pilot sites upon award. We also clarify that partner organizations may serve as experiential learning sites.

Changes: We have revised paragraph (b)(1) in the Training Activities section of the priority to require applicants to identify at least three existing baccalaureate degree ASL-English interpretation programs to host the pilot sites. We have also added to paragraph (b)(1) that applicants may describe the process and criteria they will use to identify the pilot sites upon award.

#### *Cohort participants*

Comment: Several commenters asked that the Department clarify the qualifications of novice interpreter applicants who would be selected to participate in the pilot sites. One commenter recommended removing the requirement for cohort participants to have a bachelor's degree in any field or major (as required to sit for the National Interpreter Certification exam). The commenter proposed that cohort participants who do not have a bachelor's degree could, instead, demonstrate equivalent knowledge and skills in ASL-English interpretation. Other commenters suggested that cohort participants include: (1) individuals who are deaf or hard of hearing and who are preparing for the Certification of Deaf Interpreter (CDI)

exam; (2) graduates of partner organizations preparing K-12 interpreters; and (3) graduates of baccalaureate degree programs who have not yet obtained program accreditation from the CCIE. One commenter stressed the importance of diversity and inclusion among cohort participants and of ensuring recruitment of students of color, trilingual students, deaf and deaf-blind students, and children of deaf adults.

Discussion: We agree that, to the extent possible, applicants must ensure diversity and inclusion among cohort participants and ensure recruitment of students of color, trilingual students, deaf and deaf-blind students, and children of deaf adults. While this was implied in the proposed priority, it was not explicitly stated and to clarify this we are adding paragraph (b) (5) in the Training Activities section of the priority.

We also agree that we need to clarify the required cohort participants. We intend for the Center to train interpreters with specific competencies that are necessary to effectively interpret for adults who are deaf or hard of hearing and individuals who are deaf-blind, including those who are VR consumers, in transition from school to post-school activities, postsecondary education, employment, and community settings. Therefore, graduates of partner

organizations preparing K-12 interpreters are not appropriate to participate in the pilot.

Eligible cohort participants may include deaf individuals, students in their final one or two semesters of completing their degree from a CCIE- or non-CCIE-accredited baccalaureate degree ASL-English interpreter program, recent graduates of CCIE- and non-CCIE-accredited baccalaureate degree ASL-English interpreter education programs, and working novice interpreters who intend to obtain national certification and interpret for adults who are deaf or hard of hearing and individuals who are deaf-blind, including deaf consumers of the VR system. The recruitment and selection of cohort participants will be determined by the Center.

Change: We have expanded the list of possible cohort participants by deleting the requirement for the cohort to comprise graduates from baccalaureate degree ASL-English interpretation programs who are preparing for, or have not passed, the National Interpreter Certification knowledge and performance exams and who intend to work as interpreters, which was in paragraph (b) (2) of the Training Activities section of the proposed priority. We have also expanded the list of possible cohort participants by adding paragraphs (b) (4) and (b) (5) under the Training Activities



section. Under paragraph (b) (4), applicants must ensure cohort participants intend to obtain national certification and interpret for adults who are deaf or hard of hearing and individuals who are deaf-blind, including deaf consumers of the VR system. We have provided that eligible cohort participants may include deaf individuals, students in their final one or two semesters of completing their degree from a CCIE or non-CCIE accredited baccalaureate degree ASL-English interpreter program, recent graduates of CCIE and non-CCIE accredited baccalaureate degree ASL-English interpreter education programs, and working novice interpreters. Under paragraph (b) (5), applicants must, to the extent possible, ensure diversity and inclusion among cohort participants and ensure recruitment of students of color, trilingual students, deaf and deaf-blind students, and children of deaf adults.

Comment: None.

Discussion: Upon further review of paragraph (b) of the Training Activities section of the priority, we believe that we should clarify the requirements for recruiting and selecting cohort participants and align this paragraph with other revisions we are making to this section.

Change: We have made several revisions to paragraph (b) of the Training Activities section of the priority. First, we

have moved the requirement, in proposed paragraph (b)(2), that applicants provide a plan to ensure that at least one cohort is completed in each pilot site prior to the end of the project period into a new paragraph (b)(3). Second, we have moved a portion of paragraph (b)(3) into a new paragraph (b)(6) and added a provision requiring that applicants establish processes and procedures for recruitment and selection of cohort participants, including criteria to ensure cohort participants demonstrate the capability to successfully complete the program and obtain national certification. Third, we have added paragraph (b)(7) to require that applicants establish procedures to identify and provide technical assistance to cohort participants who may be "at risk" of dropping out of the program. Finally, we have added paragraph (b)(11) to provide that, upon award, all successful applicants must develop and effectively communicate to all cohort participants policies and procedures related to participation in the experiential learning program.

#### *Cost of cohorts*

Comment: Some commenters disagreed with the proposed requirement that all activities must be offered at no cost to participants during the program. Commenters indicated that offering the experiential learning program at no cost

does not allow buy-in from participants who may drop the program at any time since there is no penalty for doing so. One commenter suggested a reasonable fee be required for cohort participants and that, upon successful completion of the program, the fee could be refunded to the participant.

Discussion: We agree for the reasons commenters stated that it can be appropriate to charge reasonable fees and applicants may do so. Charging reasonable fees may not be appropriate in all circumstances, however. Some cohort participants may be fully capable of completing the program and attaining national certification but may not be in a position to pay even reasonable fees, and we would not want to exclude them from participating. Therefore, we encourage applicants that choose to charge reasonable fees to consider a process for waiving these fees on a case-by-case basis.

If an applicant chooses to charge reasonable fees, it must describe in the application how this fee will be determined. If successful, upon award, the applicant must develop internal policies and procedures for collecting and effectively managing these fees. Any fees retained as a result of a participant dropping out are considered program income. Therefore, applicants should refer to 2 CFR 200.307 for applicable regulations for program income.

Change: In paragraph (a)(1) of the Training Activities section of the priority, we have removed the proposed requirement that all activities must be offered at no cost to participants during the program. We have added paragraph (b)(10) to provide that applicants may choose to charge reasonable fees to cohort participants but must describe in their application how these fees will be determined. In addition, we have provided that, upon award, applicants must develop internal policies and procedures for collecting and effectively managing these fees, and for waiving these fees for a cohort participant if there is a financial hardship. Any fees retained as a result of a participant dropping out are considered program income.

*Number of cohorts*

Comment: Several commenters recommended a specific number of cohorts and a number of novice interpreters per cohort. Generally, commenters supported cohorts of 8 to 12 novice interpreters based on the Conference of Interpreter Trainers' recommended classroom size for interpreter education classes. One commenter recommended following CCIE guidelines of up to 12 in a cohort. Other commenters suggested 3 to 4 cohorts with anywhere from 8 to 12 novice interpreters. One commenter indicated that class sizes

need to be on the smaller side so that students can get more personalized and in-depth attention. Another commenter recommended the Department should not require a certain number of novice interpreters per cohort since this number could vary greatly among each program. However, the commenter suggested the Department could require the applicant to establish guidelines basing the number of interpreters in each cohort on the applicant's program size.

Discussion: We agree that the number of novice interpreters per cohort may vary depending on the pilot site. We also agree that novice interpreters will require personalized and in-depth attention. We revised the priority to allow applicants to provide a plan in their application for how they will determine the number of cohorts for each pilot site and the number of participants in each cohort upon award. Applicants should plan accordingly for all cohorts to complete the training program before the end of the project in order to evaluate and report on outcomes of each cohort in each pilot site.

Change: In paragraph (b) (2) of the Training Activities section of the priority, we have added the option for applicants to provide a plan for how they will determine the number of cohorts for each pilot site and the number of

participants in each cohort upon award, rather than requiring that all applicants make this determination in the application.

*General comments*

Comment: A couple of commenters suggested participants in the cohort should receive college credit or continuing education units for participation in an effort to elevate interest and recruitment into the program.

Discussion: We anticipate a number of cohort participants will be students in their final semester of completing their baccalaureate degree English-ASL program and, therefore, may not benefit from additional college credit. However, nothing in the priority prevents applicants from proposing to award college credits or continuing education units to participants. Should they choose to award such credits, applicants are expected in their application to describe their plans to do so.

Change: We have added paragraph (b) (8) in the Training Activities section of this priority to clarify that applicants may determine whether to award college credits or continuing education units to cohort participants, as appropriate, and to require applicants to describe any plans for awarding college credits or continuation education units in their application.

Comment: One commenter recommended an invitational priority or competitive preference for novice applicants.

Discussion: A novice applicant priority already exists under 34 CFR 77.225, so it is not necessary to establish one in this NFP. If we use the novice priority in a competition, we will provide notification in the applicable notice inviting application published in the Federal Register.

Change: None.

Comment: Two commenters recommended the priority support two additional areas to address unmet needs in the field. The first commenter indicated that research has provided a snapshot into the unmet needs of deaf or hard of hearing individuals and individuals who are deaf-blind, and, therefore, recommended we include a robust needs assessment (which was part of the 2010 interpreter training grants) within this priority. The second commenter recommended that we require grantees to undertake the research necessary to develop a psychometrically valid instrument because, they stated, no domain-specific instrument exists yet in the sign language interpreting field for evaluating intercultural competency.

Discussion: These activities are outside the purpose and intent of this priority.

Change: None.

Comment: While the majority of comments support the goals and intent of the proposed priority, five commenters recommended maintaining the current national and regional interpreter education centers.

Discussion: We do not believe maintaining the current structure of national and regional interpreter education centers is in the best interest of the field. The Department has funded interpreter training programs since 1964 to meet the needs of VR consumers who are deaf or hard of hearing and individuals who are deaf-blind. At each critical juncture, we have re-evaluated the interpreter training program to determine how to best meet the needs of consumers of interpreting services. In the course of this ongoing re-evaluation, we concluded that, since 2005, when the current priorities were established for the national and regional centers, the training needs of interpreters have changed as a result of new and emerging issues facing VR consumers who are deaf or hard of hearing and individuals who are deaf-blind. The Department gave serious consideration to how we could continue to effectively use our funds to influence the field of interpreter education and ultimately meet the current and future needs of VR consumers.



As we noted in the background section in the NPP, we believe the need for interpreting services continues to exceed the available supply of qualified interpreters. Interpreters must be qualified to work with both individuals with a range of linguistic competencies from a variety of cultural backgrounds and individuals with disabilities. Interpreters need additional education, training, and experience in order to meet certification standards, to bridge the graduation-to-credential gap, and to gain sufficient skills to interpret effectively. Therefore, we believe establishing a Model Demonstration Center will better prepare novice interpreters to become nationally certified sign language interpreters in order to meet the needs of individuals who are deaf and hard of hearing and individuals who are deaf-blind.

Change: None.

Comment: Several commenters offered additional strategies beyond the required logic model and project evaluation to ensure that grantees are evaluating their programs throughout planning, designing, and implementing the experiential learning curriculum. For example, commenters suggested that applicants could supplement or strengthen their evaluation using secondary sources such as research and investigative books, journal articles, and

dissertations, and use national certifications such as the BEI or EIPA, portfolios, consumer endorsement, and other relevant methods of design.

Discussion: We acknowledge there are other potential strategies that could be used to ensure a program evaluation framework includes the planning, designing, and implementing of the experiential learning curriculum. Applicants may propose unique or additional strategies beyond the required logic model and program evaluation. Applicants should provide rationale in their application to support these additional strategies.

Change: None.

FINAL PRIORITY:

This notice contains one final priority.

Experiential Learning Model Demonstration Center for Novice Interpreters and Baccalaureate Degree ASL-English Interpretation Programs.

Final Priority:

The purpose of this priority is to fund a cooperative agreement for the establishment of a model demonstration center (Center) to: (1) develop an experiential learning program that could be implemented through baccalaureate degree ASL-English programs or through partner organizations, such as community-based organizations,

advocacy organizations, or commissions for the deaf or deaf-blind that work with baccalaureate degree ASL-English programs to provide work experiences and mentoring; (2) pilot the experiential learning program in three baccalaureate degree ASL-English programs and evaluate the results; and (3) disseminate practices that are promising or supported by evidence, examples, and lessons learned.

The Center must prepare novice interpreters to work in VR settings and be designed to achieve, at a minimum, the following outcomes:

(a) Increase the number of certified interpreters.

(b) Reduce the average length of time it takes for novice interpreters to become nationally certified after graduating from baccalaureate degree ASL-English interpretation programs; and

(c) Increase the average number of hours that novice interpreters, through the experiential learning program, interact with and learn from the local deaf community.

#### Project Activities

To meet the requirements of this priority, the Center must, at a minimum, conduct the following activities:

#### Establish a consortium

(a) The applicant must establish a consortium of

training and technical assistance (TA) providers or use an existing network of providers to design and implement a model experiential learning program. An eligible consortium must be comprised of a designated lead applicant that operates a baccalaureate degree ASL-English interpretation program that is recognized and accredited by CCIE or that operates both bachelor's and master's degree programs in interpreter education that are recognized and accredited by CCIE; and

(b) Members of the consortium must be staffed by or have access to experienced and certified interpreters, interpreter educators, individuals who are deaf, trained mentors, and first language models in ASL. The consortium must also represent members with diverse linguistic and cultural minority backgrounds who are qualified to provide instruction on best practices in interpreting in diverse cultural and linguistic settings. All consortium members must demonstrate the capability to provide training, mentoring, and feedback in person or remotely to novice interpreters who are geographically dispersed across the country, including the territories.

#### Training Activities

(a) In years one and two, design and implement an

experiential learning program that is based upon promising and best practices or modules in the preparation of novice interpreters to become certified interpreters. The program design must, at a minimum:

(1) Include a team that comprises native language users, qualified professionals, and trained mentors to partner with novice interpreters during and after successful completion of the experiential learning program. Applicants must describe in their application the roles and responsibilities for each team member. Roles for team members must include but are not limited to:

(i) Native language users who will serve as language models;

(ii) Qualified professionals who will act in an advisory role by observing, providing feedback, and discussing the novice interpreter's ability to accurately interpret spoken English into ASL and ASL into spoken English in a variety of situations for a range of consumers; and

(iii) Provide mentoring to novice interpreters, as needed. This may include one-on-one instruction to address specific areas identified by the advisor as needing further practice, as well as offering tools, resources, and guidance to novice interpreters to prepare them for

potential challenges they may encounter as they grow and advance in the profession. One-on-one instruction may address, but is not limited to, meaning transfer (e.g., accurately providing an equivalent message, appropriately handling register), ethical behavior, meeting the consumer's linguistic preference, managing the flow of information (e.g., pace, density, turn-taking), and other related aspects of the interpreting task.

(2) Provide multiple learning opportunities, such as an internship with a community program, mentoring, and intensive site-specific work. Intensive site-specific work may task a novice interpreter, under close direction from the advisor interpreter, with providing interpreting services to deaf individuals employed at a work site, or to deaf students taking courses at college or enrolled in an apprenticeship program. Other learning modalities may be proposed and must include adequate justification.

(3) Emphasize innovative instructional delivery methods, such as distance learning or block scheduling (i.e., a type of academic scheduling that offers students fewer classes per day for longer periods of time) that would allow novice interpreters to more easily participate in the program (i.e., participants who need to

work while in the program, have child care or elder care considerations, or live in geographically isolated areas);

(4) Provide experiential learning that engages novice interpreters with different learning styles;

(5) Provide interpreting experiences with a variety of deaf consumers who have different linguistic and communication needs and preferences, and are located in different settings, including VR settings (e.g., VR counseling, assessments, job-related services, training, pre-employment transition services, transition services, post-employment services, etc.), American Job Centers, and other relevant workforce partner locations;

(6) Require novice interpreters to observe, discuss, and reflect on the work of the advisor interpreter;

(7) Require novice interpreters to interpret in increasingly more complex and demanding situations. The advisor interpreter must provide written and oral feedback that includes strengths and areas of improvement, as well as a discussion with the novice interpreter about interpretation options, ethical behavior, and how best to meet the communication needs of a particular consumer; and

(b) Pilot the experiential learning program in a single site by year two and expand to additional sites beginning in year three. Applicants must:

(1) Identify at least three existing baccalaureate degree ASL-English interpretation programs to host the pilot sites. The baccalaureate programs must use a curriculum design that is based upon current best practices in the ASL-English Interpreter Education profession. Applicants may identify the pilot sites in the application or describe the process and criteria they will use to identify the pilot sites upon award;

(2) Indicate in the application the number of cohorts for each pilot site and the number of participants in each cohort or provide a plan in the application for how this will be determined upon award;

(3) Provide a plan in the application to ensure that at least one cohort is completed in each pilot site prior to the end of the project period;

(4) Ensure cohort participants intend to obtain national certification and interpret for adults who are deaf or hard of hearing and individuals who are deaf-blind, including deaf consumers of the VR system. Cohort participants may include deaf individuals, students within one or two semesters of completing their interpreter education program, recent graduates of interpreter education programs, and working novice interpreters;



(5) To the extent possible, ensure diversity and inclusion among cohort participants and ensure recruitment of students of color, trilingual students, deaf and deaf-blind students, and children of deaf adults;

(6) Establish processes and procedures for recruitment and selection of cohort participants, including criteria to ensure cohort participants demonstrate the capability to successfully complete the program and obtain national certification. This may include, but is not limited to, submission of an application, relevant assessments, interviewing prospective participants, and obtaining recommendations from faculty at baccalaureate degree ASL-English interpretation programs and other appropriate entities;

(7) Establish procedures to identify and provide technical assistance to cohort participants who may be "at risk" of dropping out of the program;

(8) Determine if college credits or continuing education units will be awarded to cohort participants, as appropriate. Should applicants choose to do so, they must describe any plans for awarding college credits or continuation education units in their application;

(9) Describe any assessment tools that will be used to gauge the progress of novice interpreters. Any proposed

instruments must be valid and reliable and the applicant must submit rationale to support the use of each instrument;

(10) Describe in their application how any reasonable fees that the applicant proposes to charge cohort participants will be determined. If successful, upon award, applicants must develop internal policies and procedures for collecting and effectively managing these fees, as well for waiving fees for a cohort participant if there is a financial hardship. Any fees retained as a result of a participant dropping out are considered program income. Therefore, applicants should refer to 2 CFR 200.307 for applicable regulations for program income; and

(11) Develop and effectively communicate to all cohort participants the policies and procedures related to participation in the experiential learning program.

(c) Conduct a formative and summative evaluation. Any proposed instruments must be valid and reliable and the applicant must submit rationale to support the use of each instrument. At a minimum, this must include:

(1) An assessment of participant outcomes from each cohort that includes, at a minimum, level of knowledge and practical skill levels using pre- and post-assessments; feedback from novice interpreters, from interpreter

advisors, including written feedback from observed interpreting situations, from deaf consumers, from trained mentors, including written feedback from mentoring sessions, and from others, as appropriate;

(2) Clear and specific measureable outcomes that include, but are not limited to:

(i) Improvement in specific linguistic competencies, as identified by the applicant, in English and ASL;

(ii) Improvement in specific competencies, as identified by the applicant, in ASL-English interpretation;

(iii) Outcomes in achieving national certification;  
and

(iv) The length of time for novice interpreters to become nationally certified sign language interpreters after participating in this project compared to the national average of 19-24 months.

#### Technical Assistance and Dissemination Activities

Conduct TA and dissemination activities that must include:

(a) Preparing and broadly disseminating TA materials related to practices that are promising or supported by evidence and successful strategies for working with novice interpreters;

(b) Establishing and maintaining a state-of-the-art information technology (IT) platform sufficient to support Webinars, teleconferences, video conferences, and other virtual methods of dissemination of information and TA.

Note: All products produced by the Center must meet government- and industry-recognized standards for accessibility, including section 508 of the Rehabilitation Act.

(c) Developing and maintaining a state-of-the-art archiving and dissemination system that--

(1) Provides a central location for later use of TA products, including curricula, audiovisual materials, Webinars, examples of practices that are promising or supported by evidence, and any other relevant TA products; and

(2) Is open and available to the public.

(d) Providing a minimum of two Webinars or video conferences over the course of the project to describe and disseminate information to the field about results, challenges, solutions, and practices that are promising or supported by evidence.

Note: In meeting the requirements for paragraphs (a), (b), and (c) of this section, the Center either may develop new platforms or systems or may modify existing platforms or

systems, so long as the requirements of this priority are met.

#### Coordination Activities

(a) Establish an advisory committee. To effectively implement the Training Activities section of this priority, the applicant must establish an advisory committee that meets at least semi-annually. The advisory committee must include representation from all affected stakeholder groups (i.e., interpreters, interpreter training programs, deaf individuals, and VR agencies) and may include other relevant groups. The advisory committee will advise on the strategies for establishing sites to pilot the experiential learning program, the approaches to the experiential learning program, modifications to experiential learning activities, TA, sustainability planning, and evaluating the effectiveness of the program, as well as other relevant areas as determined by the consortium.

(b) Establish one or more communities of practice<sup>3</sup> that focus on project activities in this priority and that act as vehicles for communication and exchange of

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<sup>3</sup> A community of practice (CoP) is a group of people who work together to solve a persistent problem or to improve practice in an area that is important to them and who deepen their knowledge and expertise by interacting on an ongoing basis. CoPs exist in many forms, some large in scale that deal with complex problems, others small in scale that focus on a problem at a very specific level. For more information on communities of practice, see: [www.tadnet.org/pages/510](http://www.tadnet.org/pages/510).

information among participants in the experiential learning program, as well as other relevant stakeholders;

(c) Communicate, collaborate, and coordinate, on an ongoing basis, with other relevant Department-funded projects, as applicable; and

(d) Maintain ongoing communication with the RSA project officer and other RSA staff as required.

#### Application Requirements

To be funded under this priority, applicants must meet the application requirements in this priority. RSA encourages innovative approaches to meet the following requirements:

(a) Demonstrate, in the narrative section of the application under "Significance of the Project," how the proposed project will address the need for nationally certified sign language interpreters. To meet this requirement, the applicant must:

(1) Demonstrate knowledge of English/ASL competencies that novice interpreters must possess in order to enter and to complete an experiential learning program and, at the end of the program, to successfully obtain national certification;

(2) Demonstrate knowledge of practices that are promising or supported by evidence in training novice interpreters; and

(3) Demonstrate knowledge of practices that are promising or supported by evidence in providing experiential learning.

(b) Demonstrate, in the narrative section of the application under "Quality of Project Services," how the proposed project will--

(1) Ensure equal access and treatment for members of groups that have historically been underrepresented based on race, color, national origin, gender, age, or disability in accessing postsecondary education and training;

(2) Identify the needs of intended recipients of training; and

(3) Ensure that project activities and products meet the needs of the intended recipients by creating materials in formats and languages that are accessible;

(4) Achieve its goals, objectives, and intended outcomes. To meet this requirement, the applicant must identify and provide--

(i) Measurable intended project outcomes;

(ii) Evidence of an existing Memorandum of Understanding or a Letter of Intent between the lead

applicant, members of the consortium, other proposed training and TA providers, and other relevant partners to establish a consortium that includes a description of each proposed partner's anticipated commitment of financial or in-kind resources (if any), how each proposed provider's current and proposed activities align with those of the proposed project, how each proposed provider will be held accountable under the proposed structure, and evidence to demonstrate a working relationship between the applicant and its proposed partners and key stakeholders and other relevant groups; and

(iii) A plan for communicating, collaborating, and coordinating with an advisory committee; key staff in State VR agencies, such as State Coordinators for the Deaf; State and local partner programs; Registry of Interpreters for the Deaf, Inc.; RSA partners, such as the Council of State Administrators of Vocational Rehabilitation and the National Council of State Agencies for the Blind; and relevant programs within the Office of Special Education and Rehabilitative Services (OSERS).

(3) Use a conceptual framework to design experiential learning activities, describing any underlying concepts, assumptions, expectations, beliefs, or theories, as well as



the presumed relationships or linkages among these variables and any empirical support for this framework.

(4) Be based on current research and make use of practices that are promising or supported by evidence. To meet this requirement, the applicant must describe--

(i) How the current research about adult learning principles and implementation science will inform the proposed TA; and

(ii) How the proposed project will incorporate current research and practices that are promising or supported by evidence in the development and delivery of its products and services.

(5) Develop products and provide services that are of high quality and sufficient intensity and duration to achieve the intended outcomes of the proposed project. To address this requirement, the applicant must describe its proposed activities to identify or develop the knowledge base for practices that are promising or supported by evidence in experiential learning for novice interpreters.

(6) Develop products and implement services to maximize the project's efficiency. To address this requirement, the applicant must describe--

(i) How the proposed project will use technology to achieve the intended project outcomes; and

(ii) With whom the proposed project will collaborate and the intended outcomes of this collaboration.

(c) In the narrative section of the application under "Quality of the Evaluation Plan," include an evaluation plan for the project. To address this requirement, the applicant must describe--

(1) Evaluation methodologies, including instruments, data collection methods, and analyses that will be used to evaluate the project. Any proposed instruments must be valid and reliable, and the applicant must submit rationale to support the use of each instrument;

(2) Measures of progress in implementation, including the extent to which the project's activities and products have reached their target populations; intended outcomes or results of the project's activities in order to evaluate those activities; and how well the goals and objectives of the proposed project, as described in its logic model,<sup>4</sup> have been met;

(3) How the evaluation plan will be implemented and revised, as needed, during the project. The applicant must designate at least one individual with sufficient dedicated time, experience in evaluation, and knowledge of the

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4 A logic model communicates how the project will achieve its intended outcomes and provides a framework for both the formative and summative evaluations of the project.

project to support the design and implementation of the evaluation. Tasks may include, but are not limited to, coordinating with the advisory committee and RSA to revise the logic model to provide for a more comprehensive measurement of implementation and outcomes, to reflect any changes or clarifications to the logic model discussed at the kick-off meeting, and to revise the evaluation design and instrumentation proposed in the grant application consistent with the logic model (e.g., developing quantitative or qualitative data collections that permit both the collection of progress data and the assessment of project outcomes);

(4) The standards and targets for determining effectiveness;

(5) How evaluation results will be used to examine the effectiveness of implementation and progress toward achieving the intended outcomes; and

(6) How the methods of evaluation will produce quantitative and qualitative data that demonstrate whether the project activities achieved their intended outcomes.

(d) Demonstrate, in the narrative section of the application under "Adequacy of Project Resources," how--

(1) The proposed project will encourage applications for employment from persons who are members of groups that

have historically been underrepresented based on race, color, national origin, gender, age, or disability, as appropriate;

(2) The proposed key project personnel, consultants, and subcontractors have the qualifications and experience to provide experiential learning to novice interpreters and to achieve the project's intended outcomes;

(3) The applicant and any key partners have adequate resources to carry out the proposed activities; and

(4) The proposed costs are reasonable in relation to the anticipated results and benefits.

(e) Demonstrate, in the narrative section of the application under "Quality of the Management Plan," how--

(1) The proposed management plan will ensure that the project's intended outcomes will be achieved on time and within budget. To address this requirement, the applicant must describe--

(i) Clearly defined responsibilities for key project personnel, consultants, and subcontractors, as applicable; and

(ii) Timelines and milestones for accomplishing the project tasks;

(2) Key project personnel and any consultants and subcontractors allocated to the project and how these

allocations are appropriate and adequate to achieve the project's intended outcomes, including an assurance that such personnel will have adequate availability to ensure timely communications with stakeholders and RSA;

(3) The proposed management plan will ensure that the products and services provided are of high quality; and

(4) The proposed project will benefit from a diversity of perspectives, including the advisory committee, as well as other relevant groups in its development and operation.

(f) Address the following application requirements.  
The applicant must--

(1) Include, in Appendix A, a logic model that depicts, at a minimum, the goals, activities, outputs, and intended outcomes of the proposed project;

(2) Include, in Appendix A, a Memorandum of Understanding or a Letter of Intent between the lead applicant, members of the consortium, other proposed training and TA providers, and other relevant partners;

(3) Include, in Appendix A, a conceptual framework for the project;

(4) Include, in Appendix A, person-loading charts and timelines as applicable, to illustrate the management plan described in the narrative;

(5) Include, in the budget, attendance at the following:

(i) A one and one-half day kick-off meeting in Washington, DC, after receipt of the award;

(ii) An annual planning meeting in Washington, DC, with the RSA project officer and other relevant RSA staff during each subsequent year of the project period; and

(iii) A one-day intensive review meeting in Washington, DC, during the third quarter of the third year of the project period.

Types of Priorities:

When inviting applications for a competition using one or more priorities, we designate the type of each priority as absolute, competitive preference, or invitational through a notice in the Federal Register. The effect of each type of priority follows:

Absolute priority: Under an absolute priority, we consider only applications that meet the priority (34 CFR 75.105(c)(3)).

Competitive preference priority: Under a competitive preference priority, we give competitive preference to an application by (1) awarding additional points, depending on the extent to which the application meets the priority (34 CFR 75.105(c)(2)(i)); or (2) selecting an application that

meets the priority over an application of comparable merit that does not meet the priority (34 CFR 75.105(c)(2)(ii)).

Invitational priority: Under an invitational priority, we are particularly interested in applications that meet the priority. However, we do not give an application that meets the priority a preference over other applications (34 CFR 75.105(c)(1)).

This notice does not preclude us from proposing additional priorities, requirements, definitions, or selection criteria, subject to meeting applicable rulemaking requirements.

Note: This notice does not solicit applications. In any year in which we choose to use this priority, we invite applications through a notice in the Federal Register.

#### Paperwork Reduction Act of 1995

As part of its continuing effort to reduce paperwork and respondent burden, the Department provides the general public and Federal agencies with an opportunity to comment on proposed and continuing collections of information in accordance with the Paperwork Reduction Act of 1995 (PRA) (44 U.S.C. 3506(c)(2)(A)). This helps ensure that: the public understands the Department's collection instructions, respondents can provide the requested data in the desired format, reporting burden (time and financial

resources) is minimized, collection instruments are clearly understood, and the Department can properly assess the impact of collection requirements on respondents.

This final priority contains information collection requirements that are approved by OMB under the National Interpreter Education program 1820-0018; this final priority does not affect the currently approved data collection.

#### Executive Orders 12866 and 13563

#### Regulatory Impact Analysis

Under Executive Order 12866, the Secretary must determine whether this regulatory action is "significant" and, therefore, subject to the requirements of the Executive order and subject to review by the Office of Management and Budget (OMB). Section 3(f) of Executive Order 12866 defines a "significant regulatory action" as an action likely to result in a rule that may--

(1) Have an annual effect on the economy of \$100 million or more, or adversely affect a sector of the economy, productivity, competition, jobs, the environment, public health or safety, or State, local, or tribal governments or communities in a material way (also referred to as an "economically significant" rule);



(2) Create serious inconsistency or otherwise interfere with an action taken or planned by another agency;

(3) Materially alter the budgetary impacts of entitlement grants, user fees, or loan programs or the rights and obligations of recipients thereof; or

(4) Raise novel legal or policy issues arising out of legal mandates, the President's priorities, or the principles stated in the Executive order.

This final regulatory action is not a significant regulatory action subject to review by OMB under section 3(f) of Executive Order 12866.

We have also reviewed this final regulatory action under Executive Order 13563, which supplements and explicitly reaffirms the principles, structures, and definitions governing regulatory review established in Executive Order 12866. To the extent permitted by law, Executive Order 13563 requires that an agency--

(1) Propose or adopt regulations only upon a reasoned determination that their benefits justify their costs (recognizing that some benefits and costs are difficult to quantify);

(2) Tailor its regulations to impose the least burden on society, consistent with obtaining regulatory objectives

and taking into account--among other things and to the extent practicable--the costs of cumulative regulations;

(3) In choosing among alternative regulatory approaches, select those approaches that maximize net benefits (including potential economic, environmental, public health and safety, and other advantages; distributive impacts; and equity);

(4) To the extent feasible, specify performance objectives, rather than the behavior or manner of compliance a regulated entity must adopt; and

(5) Identify and assess available alternatives to direct regulation, including economic incentives--such as user fees or marketable permits--to encourage the desired behavior, or provide information that enables the public to make choices.

Executive Order 13563 also requires an agency "to use the best available techniques to quantify anticipated present and future benefits and costs as accurately as possible." The Office of Information and Regulatory Affairs of OMB has emphasized that these techniques may include "identifying changing future compliance costs that might result from technological innovation or anticipated behavioral changes."

We are issuing this final priority only on a reasoned determination that its benefits justify its costs. In choosing among alternative regulatory approaches, we selected those approaches that maximize net benefits. Based on the analysis that follows, the Department believes that this regulatory action is consistent with the principles in Executive Order 13563.

We also have determined that this regulatory action does not unduly interfere with State, local, and tribal governments in the exercise of their governmental functions.

In accordance with both Executive orders, the Department has assessed the potential costs and benefits, both quantitative and qualitative, of this regulatory action. The potential costs are those resulting from statutory requirements and those we have determined as necessary for administering the Department's programs and activities.

Through this priority, experiential learning and TA will be provided to novice interpreters in order for them to achieve national certification. These activities will help interpreters to more effectively meet the communication needs of individuals who are deaf or hard of hearing and individuals who are deaf-blind. The training

ultimately will improve the quality of VR services and the competitive integrated employment outcomes achieved by individuals with disabilities. This priority will promote the efficient and effective use of Federal funds.

Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this program.

Accessible Format: Individuals with disabilities can obtain this document in an accessible format (e.g., braille, large print, audiotape, or compact disc) on request to the program contact person listed under FOR FURTHER INFORMATION CONTACT.

Electronic Access to This Document: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available via the Federal Digital System at:

[www.gpo.gov/fdsys](http://www.gpo.gov/fdsys). At this site, you can view this document, as well as all other documents of this Department published in the Federal Register, in text or Portable Document Format (PDF). To use PDF you must have Adobe Acrobat Reader, which is available free at the site.

You may also access documents of the Department published in the Federal Register by using the article search feature at: [www.federalregister.gov](http://www.federalregister.gov). Specifically, through the advanced search feature at this site, you can limit your search to documents published by the Department.

Dated:

/s/  
Sue Swenson,  
Acting Assistant Secretary for  
Special Education and  
Rehabilitative Services.

Section D  
Section 302 of the *Rehabilitation Act of*  
*1973*

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302(f) GRANTS FOR THE TRAINING OF INTERPRETERS.—

(1) AUTHORITY.—

(A) IN GENERAL.—For the purpose of training a sufficient number of qualified interpreters to meet the communications needs of individuals who are deaf or hard of hearing, and individuals who are deaf-blind, the Commissioner, acting through a Federal office responsible for deafness and communicative disorders, may award grants to public or private nonprofit agencies or organizations to pay part of the costs—

(i) for the establishment of interpreter training programs; or

(ii) to enable such agencies or organizations to provide financial assistance for ongoing interpreter training programs.

(B) GEOGRAPHIC AREAS.—The Commissioner shall award grants under this subsection for programs in geographic areas throughout the United States that the Commissioner considers appropriate to best carry out the objectives of this section.

(C) PRIORITY.—In awarding grants under this subsection, the Commissioner shall give priority to public or private nonprofit agencies or organizations with existing programs that have a demonstrated capacity for providing interpreter training services.

(D) FUNDING.—The Commissioner may award grants under this subsection through the use of—

(i) amounts appropriated to carry out this section; or

(ii) pursuant to an agreement with the Director of the Office of the Special Education Program (established under section 603 of the Individuals with Disabilities Education Act), amounts appropriated under section 686 of the Individuals with Disabilities Education Act.

(2) APPLICATION.—A grant may not be awarded to an agency or organization under paragraph (1) unless the agency or organization has submitted an application to the Commissioner at such time, in such form, in accordance with such procedures, and containing such information as the Commissioner may require, including—

(A) a description of the manner in which an interpreter training program will be developed and operated during the 5-year period following the date on which a grant is received by the applicant under this subsection;

(B) a demonstration of the applicant's capacity or potential for providing training for interpreters for individuals who are deaf or hard of hearing, and individuals who are deaf-blind;

(C) assurances that any interpreter trained or retrained under a program funded under the grant will meet such minimum standards of competency as the Commissioner may establish for purposes of this subsection; and

(D) such other information as the Commissioner may require.

## Section E

### Selection Criteria for Applications

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## SELECTION CRITERIA FOR APPLICATIONS

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Part III of the application form requires a narrative that addresses the selection criteria that will be used by reviewers in evaluating individual proposals. Applications are more likely to receive favorable reviews by panels when they are organized according to the format suggested below. If you prefer to use a different format, you may wish to cross-reference the sections of your application to the selection criteria to be sure that reviewers are able to find all relevant information.

The selection criteria that will be used to evaluate applications submitted to the Applications for New Awards; Personnel Development to Improve Services and Results for Children with Disabilities— Training of Interpreters for Individuals Who Are Deaf or Hard of Hearing and Individuals Who Are Deaf-Blind Program (**CFDA 84.160C**) competition are the selection criteria for new grants required by the EDGAR 75.210 general selection criteria menu. The maximum score for all of the criteria is 100 points.

The application narrative should include the following sections in this order:

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### **(a) SIGNIFICANCE. (10 points)**

In determining the significance of the proposed project, the Secretary considers the following factors:

- (1) The magnitude of the need for the services to be provided or the activities to be carried out by the proposed project.
- (2) The importance or magnitude of the results or outcomes likely to be attained by the proposed project.
- (3) The extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies.

#### **Explanation (per the “Application Requirements” in the Notice of Final Priority):**

Demonstrate how the proposed project will address the need for nationally certified sign language interpreters. To meet this requirement, the applicant must:

- (1) Demonstrate knowledge of English/ASL competencies that novice interpreters must possess in order to enter and to complete an experiential learning program and, at the end of the program, to successfully obtain national certification;
- (2) Demonstrate knowledge of practices that are promising or supported by evidence in training novice interpreters; and
- (3) Demonstrate knowledge of practices that are promising or supported by evidence in providing experiential learning.

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### **(b) QUALITY OF PROJECT SERVICES. (25 points)**

In determining the quality of project services, the Secretary considers the following factors:

- (1) The quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.
- (2) The extent to which the goals, objectives, and outcomes to be achieved by the

proposed project are clearly specified and measurable.

(3) The extent to which there is a conceptual framework underlying the proposed research or demonstration activities and the quality of that framework.

(4) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services.

(5) The extent to which the training or professional development services to be provided by the proposed project are likely to alleviate the personnel shortages that have been identified or are the focus of the proposed project.

(6) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services.

(7) The extent to which the services to be provided by the proposed project reflect up-to-date knowledge from research and effective practice.

(8) The extent to which the proposed project encourages consumer involvement.

**Explanation (per the “Application Requirements” in the Notice of Final Priority):**

Demonstrate how the proposed project will--

(1) Ensure equal access and treatment for members of groups that have historically been underrepresented based on race, color, national origin, gender, age, or disability in accessing postsecondary education and training;

(2) Identify the needs of intended recipients of training; and

(3) Ensure that project activities and products meet the needs of the intended recipients by creating materials in formats and languages that are accessible;

(4) Achieve its goals, objectives, and intended outcomes. To meet this requirement, the applicant must identify and provide--

(i) Measurable intended project outcomes;

(ii) Evidence of an existing Memorandum of Understanding or a Letter of Intent between the Center and proposed training and technical assistance providers to establish a consortium that includes a description of each proposed partner’s anticipated commitment of financial or in-kind resources (if any), how each proposed provider’s current and proposed activities align with those of the proposed project, how each proposed provider will be held accountable under the proposed structure, and evidence to demonstrate a working relationship between the applicant and its proposed partners and key stakeholders and other relevant groups; and

(iii) A plan for communicating, collaborating, and coordinating with an advisory committee; key staff in State VR agencies, such as State Coordinators for the Deaf; State and local partner programs; Registry of Interpreters for the Deaf, Inc.; RSA partners, such as the Council of State Administrators of Vocational Rehabilitation and the National Council of State Agencies for the Blind; and relevant programs within the Office of Special Education and Rehabilitative Services (OSERS).

(5) Use a conceptual framework to design experiential learning activities, describing any underlying concepts, assumptions, expectations, beliefs, or theories, as well as the presumed relationships or linkages among these variables and any empirical support for this framework.

(6) Be based on current research and make use of practices that are promising or supported by evidence. To meet this requirement, the applicant must describe--

(i) How the current research about adult learning principles and implementation science will inform the proposed TA; and

(ii) How the proposed project will incorporate current research and practices that are promising or supported by evidence in the development and delivery of its products and services.

- (7) Develop products and provide services that are of high quality and sufficient intensity and duration to achieve the intended outcomes of the proposed project. To address this requirement, the applicant must describe its proposed activities to identify or develop the knowledge base for practices that are promising or supported by evidence in experiential learning for novice interpreters.
- (8) Develop products and implement services to maximize the project's efficiency. To address this requirement, the applicant must describe--
- (i) How the proposed project will use technology to achieve the intended project outcomes; and
  - (ii) With whom the proposed project will collaborate and the intended outcomes of this collaboration.

### **(c) QUALITY OF THE EVALUATION PLAN.**

**(25 points)**

In determining the quality of the evaluation plan, the Secretary considers the following factors:

- (1) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project;
- (2) The extent to which the goals, objectives, and outcomes, including scholar competencies, to be achieved by the proposed project are clearly specified and measureable;
- (3) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible; and
- (4) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

#### **Explanation (per the "Application Requirements" in the Notice of Final Priority)**

Describe--

- (1) Evaluation methodologies, including instruments, data collection methods, and analyses that will be used to evaluate the project. Any proposed instruments must be valid and reliable, and the applicant must submit rationale to support the use of each instrument;
- (2) Measures of progress in implementation, including the extent to which the project's activities and products have reached their target populations; intended outcomes or results of the project's activities in order to evaluate those activities; and how well the goals and objectives of the proposed project, as described in its logic model,<sup>5</sup> have been met;
- (3) How the evaluation plan will be implemented and revised, as needed, during the project. The applicant must designate at least one individual with sufficient dedicated time, experience in evaluation, and knowledge of the project to support the design and implementation of the evaluation. Tasks may include, but are not limited to, coordinating with the advisory committee and RSA to revise the logic model to provide for a more comprehensive measurement of implementation and outcomes, to reflect any changes or clarifications to the logic model discussed at the kick-off meeting, and to revise the evaluation design and instrumentation proposed in the grant application consistent with the logic model (e.g., developing quantitative or qualitative data collections that permit both the collection of progress data and the assessment of project outcomes);
- (4) The standards and targets for determining effectiveness;

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<sup>5</sup> A logic model communicates how the project will achieve its intended outcomes and provides a framework for both the formative and summative evaluations of the project.

- (5) How evaluation results will be used to examine the effectiveness of implementation and progress toward achieving the intended outcomes; and
- (6) How the methods of evaluation will produce quantitative and qualitative data that demonstrate whether the project activities achieved their intended outcomes.

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**(d) ADEQUACY OF PROJECT RESOURCES.**

**(15 points)**

In determining the adequacy of project resources, the Secretary considers the following factors:

- (1) In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been under represented based on race, color, national origin, gender, age, or disability.
- (2) The qualifications, including relevant training and experience, of the project director, or principal investigator.
- (3) The qualifications, including relevant training and experience, of key project personnel.
- (4) The qualifications, including relevant training and experience, of project consultants or subcontractors.
- (5) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization; and
- (6) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.

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**(f) QUALITY OF THE MANAGEMENT PLAN.**

**(25 points)**

In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

- (1) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.
- (2) The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project.
- (3) The adequacy of mechanisms for ensuring high-quality products and services from the proposed project.
- (4) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

**Explanation (per the “Application Requirements” in the Notice of Final Priority)**

Demonstrate how--

- (1) The proposed management plan will ensure that the project’s intended outcomes will be achieved on time and within budget. To address this requirement, the applicant must describe--
  - (i) Clearly defined responsibilities for key project personnel, consultants, and subcontractors, as applicable; and
  - (ii) Timelines and milestones for accomplishing the project tasks;
- (2) Key project personnel and any consultants and subcontractors allocated to the project and how these allocations are appropriate and adequate to achieve the project’s intended outcomes,

including an assurance that such personnel will have adequate availability to ensure timely communications with stakeholders and RSA;

(3) The proposed management plan will ensure that the products and services provided are of high quality; and

(4) The proposed project will benefit from a diversity of perspectives, including the advisory committee, as well as other relevant groups in its development and operation.

## Section F

# Application Transmittal Instructions

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# IMPORTANT – PLEASE READ FIRST

## U.S. Department of Education

### **(a) Grants.gov Submission Procedures and Tips for Applicants**

To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

#### **ATTENTION – Adobe Forms and PDF Files Required**

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 10.1.14). (Please note that in early 2013, Grants.gov discovered an issue with the newest version of Adobe Reader XI but it was subsequently resolved.) Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov at this link: [compatibility table](#). We strongly recommend that you review these details on [www.Grants.gov](http://www.Grants.gov) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in .pdf format only. (See details below under “Attaching Files – Additional Tips.”) If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

- 1) **REGISTER EARLY** – Grants.gov registration involves many steps including registration on SAM ([www.sam.gov](http://www.sam.gov)) which may take approximately one week to complete, but could take upwards of several weeks to complete, depending upon the completeness and accuracy of the data entered into the SAM database by an applicant. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. Please note that once your SAM registration is active, it will take 24-48 hours for the information to be available in Grants.gov, and before you can submit an application through Grants.gov. For detailed information on the Registration Steps, please go to: <http://www.grants.gov/web/grants/register.html> [Note: Your organization will need to update its SAM registration annually (formerly Central Contractor Registry (CCR).)]

Primary information about SAM is available at [www.sam.gov](http://www.sam.gov). However, to further assist you with obtaining and registering your DUNS number and TIN in SAM or updating your existing SAM account the Department of Education has prepared a SAM.gov Tip Sheet which you can find at: <http://www2.ed.gov/fund/grant/apply/sam-faqs.html>

- 2) **SUBMIT EARLY** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 4:30:00 p.m. Washington, DC time on the deadline date.

**Note:** To submit successfully, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization registered with the SAM (formerly CCR -Central Contractor Registry). If you do not enter the same DUNS number on your application as the DUNS you registered with, Grants.gov will reject your application.

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives your application from

Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov's Track My Application link.

If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: <http://www.grants.gov/web/grants/applicants/applicant-faqs.html>. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Error Messages document at <http://www.grants.gov/web/grants/support/technical-support/troubleshooting/encountering-error-messages.html>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

### **Submission Problems – What should you do?**

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or <http://www.grants.gov/web/grants/about/contact-us.html>, or access the Grants.gov Self-Service web portal at: <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>

If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.

If electronic submission is required, you must submit an electronic application before 4:30:00 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

### **Helpful Hints When Working with Grants.gov**

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. **You must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov.**

Please go to <http://www.grants.gov/web/grants/about/contact-us.html> for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov <http://www.grants.gov/web/grants/support/general-support/faqs.html>.

### **Dial-Up Internet Connections**

When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial up connection. **If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

### **MAC Users**

For MAC compatibility information, review the Operating System Platform Compatibility Table at the following Grants.gov link: <http://www.grants.gov/web/grants/support/technical-support/recommended-software.html>. **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)



## Attaching Files – Additional Tips

Please note the following tips related to attaching files to your application, especially the requirement that applicants **only include read-only, non-modifiable .PDF files** in their application:

1. Ensure that you attach **.PDF files only** for any attachments to your application, and they must be in a **read-only, non-modifiable format**. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read. If you need assistance converting your files to a .pdf format, please refer to the following Grants.gov webpage with links to conversion programs under the heading of additional resources:  
<http://www.grants.gov/web/grants/support/technical-support/software/pdf-conversion-software.html>
2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
3. When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must be less than 50 characters, contain no spaces, no special characters (example: -, &, \*, %, /, #, \) including periods (.), blank spaces and accent marks. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.
4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

3/2014

## Section G

### Application Abstract Instructions

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## PROJECT ABSTRACT

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Applicants are required to submit a **one page** project abstract with their application. The page specifications are as follows:

- A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch)
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

The abstract must include the following information:

- 1) Name of Applicant (agency or institution applying for award, not the individual submitting the application);
- 2) City and State where the agency or institution is located;
- 3) Overview statement highlighting the purpose of the project, target population, proposed number of individuals to be served each year, goals and objectives, target population, and expected outcomes of the project;
- 4) The Congressional District where the agency or institution is located (number); and
- 5) The name of the principle Project Director and the percentage of time the Director will manage the project.

Questions regarding the project abstract or any other components of the application should be directed to the competition manager before the closing date.

## Section H

### Application Forms

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U.S. Department of Education  
Office of Special Education and Rehabilitative Services  
Rehabilitation Services Administration

## INSTRUCTIONS FOR AN APPLICATION FOR FEDERAL ASSISTANCE

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### (Nonconstruction Programs)

The enclosed forms shall be used by all applicants for Federal Assistance under all Rehabilitation Services Administration programs. A separate application must be submitted for each grant sought. No grant may be awarded unless the completed application forms have been received. If an item does not appear to be relevant to the assistance requested, write "NA" for not applicable.

This application consists of four parts. These parts are organized in the same manner that the submitted application should be organized. These parts are as follows:

<b>Part I</b>	Federal Assistance Application Face Page (SF-424)
<b>Part II</b>	Budget Information (ED 524)
<b>Part III</b>	Program Narrative
<b>Part IV</b>	Assurances, Certifications and Disclosures

Electronic submission requires that narratives and other files be attached to the following attachment forms as per the instruction in this document such as:

- One-page abstract must be attached to the "Department of Education Abstract Form"
- Program narratives must be attached to the "Program Narrative Attachment Form"
- Budget narratives must be attached to the "Budget Narrative Attachment Form"
- All vitas, table of contents, letters, certifications, supplementary statements, and other requested appendices must be attached to the "Other Attachment Form"

**NOTE:** Please do not attach any narratives, supporting files or application components to the Standard Form (SF-424). Although this form accepts attachments, the Department of Education will only review materials/files attached to the attachment forms listed above.

Each submitted application must include an index or table of contents and a one-page project abstract. Pages should be consecutively numbered.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1820-0018. The time required to complete this information collection is estimated to average 40 hours per response, including the time to review instructions, search existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

Under terms of the Paperwork Reduction Act of 1995, as amended, and the regulations implementing that Act, the Department of Education invites comment on the public reporting burden in this collection of information. You may send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the:

U.S. Department of Education  
Information Management and Compliance Division  
Washington, DC 20202-4651

APPLICATION FOR FEDERAL ASSISTANCE SF-424	
<b>*1. Type of Submission:</b> <input type="checkbox"/> Preapplication <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	<b>*2. Type of Application:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision  * If Revision, select appropriate letter(s): *Other (Specify): _____
<b>*3. Date Received:</b> <small>Completed by Grants.gov upon submission</small>	<b>4. Applicant Identifier:</b>
<b>5a. Federal Entity Identifier:</b>	<b>*5b. Federal Award Identifier:</b>
<b>State Use Only:</b>	
<b>6. Date Received by State:</b>	<b>7. State Application Identifier:</b>
<b>8. APPLICANT INFORMATION:</b>	
<b>*a. Legal Name:</b> _____	
<b>*b. Employer/Taxpayer Identification Number (EIN/TIN):</b> _____	<b>*c. Organizational DUNS:</b> _____
<b>d. Address:</b>	
<b>*Street 1:</b>	_____
<b>Street 2:</b>	_____
<b>*City:</b>	_____
<b>County/Parish:</b>	_____
<b>*State:</b>	_____
<b>Province:</b>	_____
<b>*Country:</b>	_____
<b>*Zip / Postal Code:</b>	_____
<b>e. Organizational Unit:</b>	
<b>Department Name:</b>	<b>Division Name:</b>
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>	
<b>Prefix:</b> _____	<b>*First Name:</b> _____
<b>Middle Name:</b> _____	
<b>*Last Name:</b> _____	
<b>Suffix:</b> _____	
<b>Title:</b>	
<b>Organizational Affiliation:</b>	

## APPLICATION FOR FEDERAL ASSISTANCE SF-424

\*Telephone Number:

Fax Number:

\*Email:

### 9. Type of Applicant 1: Select Applicant Type:

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\*Other (Specify)

### \*10 Name of Federal Agency:

### 11. Catalog of Federal Domestic Assistance Number:

CFDA Title:

### \*12 Funding Opportunity Number:

\*Title:

### 13. Competition Identification Number:

Title:

### 14. Areas Affected by Project (Cities, Counties, States, etc.):

### \*15. Descriptive Title of Applicant's Project:



## APPLICATION FOR FEDERAL ASSISTANCE SF-424

Attach supporting documents as specified in agency instructions.

### 16. Congressional Districts Of:

\*a. Applicant:

\*b. Program/Project:

Attach an additional list of Program/Project Congressional Districts if needed.

### 17. Proposed Project:

\*a. Start Date:

\*b. End Date:

### 18. Estimated Funding (\$):

*a. Federal	<input type="text"/>
*b. Applicant	<input type="text"/>
*c. State	<input type="text"/>
*d. Local	<input type="text"/>
*e. Other	<input type="text"/>
*f. Program Income	<input type="text"/>
*g. TOTAL	<input type="text"/>

### \*19. Is Application Subject to Review By State Under Executive Order 12372 Process?

- ☐ a. This application was made available to the State under the Executive Order 12372 Process for review on \_\_\_\_\_
- ☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- ☐ c. Program is not covered by E.O. 12372.

### \*20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)

☐ Yes ☐ No

If "Yes", provide explanation and attach.

21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001)

☐ \*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

### Authorized Representative:

Prefix: \_\_\_\_\_

\*First Name:

## APPLICATION FOR FEDERAL ASSISTANCE SF-424

Middle Name: \_\_\_\_\_

\*Last Name: \_\_\_\_\_

Suffix: \_\_\_\_\_

\*Title: \_\_\_\_\_

\*Telephone Number: \_\_\_\_\_

Fax Number: \_\_\_\_\_

\* Email: \_\_\_\_\_

\*Signature of Authorized Representative: \_\_\_\_\_

Completed by Grants.gov upon submission

\*Date Signed: \_\_\_\_\_

Completed by Grants.gov upon submission

## INSTRUCTIONS FOR THE SF-424

This is a standard form required for use as a cover sheet for submission of pre-applications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the federal agency (agency). Required fields on the form are identified with an asterisk (\*) and are also specified as "Required" in the instructions below. In addition to these instructions, applicants must consult agency instructions to determine other specific requirements.

Item	Entry:
1.	<b>Type of Submission:</b> (Required) Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>○ <b>Pre-application</b></li> <li>○ <b>Application</b></li> <li>○ <b>Changed/Corrected Application</b>—Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.</li> </ul>
2.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>○ <b>New</b>—An application that is being submitted to an agency for the first time.</li> <li>○ <b>Continuation</b> - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>○ <b>Revision</b> - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. "f "Other" is selected, please specify in text box provided.               <ul style="list-style-type: none"> <li>A. Increase Award</li> <li>B. Decrease Award</li> <li>C. Increase Duration</li> <li>D. Decrease Duration</li> <li>E. Other (specify)</li> </ul> </li> </ul>
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.
5.	<b>a. Federal Entity Identifier:</b> Enter the number assigned to your organization by the federal agency, if any. <b>B .Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if applicable.

Item	Entry:																										
8.	<p><b>Applicant Information:</b> Enter the following in accordance with agency instructions:</p> <p><b>a. Legal Name:</b> (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a>.</p> <p><b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</p> <p><b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a>.</p> <p><b>d. Address:</b> Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).</p> <p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.</p> <p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.</p>																										
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0"> <tr> <td>A. State Government</td><td>K. Indian/Native American Tribally Designated Organization</td></tr> <tr> <td>B. County Government</td><td>L. Public/Indian Housing Authority</td></tr> <tr> <td>C. City or Township Government</td><td>M. Nonprofit</td></tr> <tr> <td>D. Special District Government</td><td>N. Private Institution of Higher Education</td></tr> <tr> <td>E. Regional Organization</td><td>O. Individual</td></tr> <tr> <td>F. U.S. Territory or Possession</td><td>P. For-Profit Organization (Other than Small Business)</td></tr> <tr> <td>G. Independent School District</td><td>Q. Small Business</td></tr> <tr> <td>H. Public/State Controlled Institution of Higher Education</td><td>R. Hispanic-serving Institution</td></tr> <tr> <td>I. Indian/Native American Tribal Government (Federally Recognized)</td><td>S. Historically Black Colleges and Universities (HBCUs)</td></tr> <tr> <td>J. Indian/Native American Tribal Government (Other than Federally Recognized)</td><td>T. Tribally Controlled Colleges and Universities (TCCUs)</td></tr> <tr> <td></td><td>U. Alaska Native and Native Hawaiian Serving Institutions</td></tr> <tr> <td></td><td>V. Non-US Entity</td></tr> <tr> <td></td><td>W. Other (specify)</td></tr> </table>	A. State Government	K. Indian/Native American Tribally Designated Organization	B. County Government	L. Public/Indian Housing Authority	C. City or Township Government	M. Nonprofit	D. Special District Government	N. Private Institution of Higher Education	E. Regional Organization	O. Individual	F. U.S. Territory or Possession	P. For-Profit Organization (Other than Small Business)	G. Independent School District	Q. Small Business	H. Public/State Controlled Institution of Higher Education	R. Hispanic-serving Institution	I. Indian/Native American Tribal Government (Federally Recognized)	S. Historically Black Colleges and Universities (HBCUs)	J. Indian/Native American Tribal Government (Other than Federally Recognized)	T. Tribally Controlled Colleges and Universities (TCCUs)		U. Alaska Native and Native Hawaiian Serving Institutions		V. Non-US Entity		W. Other (specify)
A. State Government	K. Indian/Native American Tribally Designated Organization																										
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	U. Alaska Native and Native Hawaiian Serving Institutions																										
	V. Non-US Entity																										
	W. Other (specify)																										
10.	<p><b>Name Of Federal Agency:</b> (Required) Enter the name of the federal agency from which assistance is being requested with this application.</p>																										
11.	<p><b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.</p>																										
12.	<p><b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.</p>																										
13.	<p><b>Competition Identification Number/Title:</b> Enter the competition identification number and title of the competition under which assistance is requested, if applicable.</p>																										
14.	<p><b>Areas Affected By Project:</b> This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.</p>																										

Item	Entry:
15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
16.	<b>Congressional Districts Of:</b> 15a. (Required) Enter the applicant's congressional district. 15b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation—3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
18.	<b>Estimated Funding:</b> (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
19.	<b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.
20.	<b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.
21.	<b>Authorized Representative:</b> To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)

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## SUPPLEMENTAL INFORMATION REQUIRED FOR THE DEPARTMENT OF EDUCATION

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### 1. Project Director:

Name: \_\_\_\_\_  
Prefix: \_\_\_\_\_  
\*First Name: \_\_\_\_\_  
Middle Name: \_\_\_\_\_  
\*Last Name: \_\_\_\_\_  
Suffix: \_\_\_\_\_

#### Address

\*Street1: \_\_\_\_\_  
Street2: \_\_\_\_\_  
\*City: \_\_\_\_\_  
County: \_\_\_\_\_  
\*State: \_\_\_\_\_ \*Zip Code: \_\_\_\_\_ \*Country: \_\_\_\_\_  
  
\*Phone Number (give area code): \_\_\_\_\_  
Fax Number (give area code): \_\_\_\_\_  
E-mail Address: \_\_\_\_\_

---

### 2. Applicant Experience:

Novice Applicant?:    Yes ☐    No ☐    Not applicable to this program ☐

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### 3. Human Subjects Research:

Are any research activities involving human subjects      Yes ☐  
planned at any time during the proposed project Period?      No ☐

Are ALL the research activities proposed      Yes ☐      Provide Exemption(s) #:  
designated to be exempt from the regulations?      No ☐      Provide Assurance #, if available:

Please attach  
an explanation  
narrative:

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# Instructions for Department of Education Supplemental Information for SF 424

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## 1. Project Director.

Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

## 2. Novice Applicant.

Check **“Yes”** or **“No”** only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.

Check **“Yes”** if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.” By checking “Yes” the applicant certifies that it meets these novice applicant requirements. Check **“No”** if you do not meet the requirements for novice applicants.

## 3. Human Subjects Research.

(See I. A. “Definitions” in attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.”)

### If Not Human Subjects Research.

Check **“No”** if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

### If Human Subjects Research.

Check **“Yes”** if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution.

Check **“Yes”** even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.”)

### 3a. If Human Subjects Research is Exempt from the Human Subjects Regulations.

Check **“Yes”** if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of

the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information Form SF 424.”

### 3a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.

Check **“No”** if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information Form SF 424

### 3a. Human Subjects Assurance Number.

If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

### NOTE ABOUT INSTITUTIONAL REVIEW BOARD APPROVAL.

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ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

## PAPERWORK BURDEN STATEMENT

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According to the *Paperwork Reduction Act of 1995*, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:

U.S. Department of Education  
Washington, DC 20202-4700

If you have comments or concerns regarding the status of your individual submission of this form write directly to:

Joyce I. Mays  
Application Control Center  
U.S. Department of Education  
550 12th St. SW, Room PCP 7076  
Washington, DC 20202-4260

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# DEFINITIONS FOR DEPARTMENT OF EDUCATION

## SUPPLEMENTAL INFORMATION FOR SF 424

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(Attachment to Instructions for Supplemental Information for SF 424)

### DEFINITIONS

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#### Novice Applicant (See 34 CFR 75.225).

For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

### PROTECTION OF HUMAN SUBJECTS IN RESEARCH

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#### I. DEFINITIONS AND EXEMPTIONS

##### A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

##### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable*

*knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

##### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.”

*(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met.*

*(2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met. [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]*

##### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

- (1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or

the comparison among instructional techniques, curricula, or classroom management methods.

- (2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]
- (3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
- (4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.
- (5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d)

possible changes in methods or levels of payment for benefits or services under those programs.

- (6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

### **A. Exempt Research Narrative.**

If you marked "Yes" for item 3 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked "No" for item 3 a. you must provide the "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

#### **(1) Human Subjects Involvement and Characteristics:**

Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant

women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:**

Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:**

Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:**

Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:**

Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:**

Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):**

If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on

the protection of human subjects in research are available from:

Grants Policy and Oversight Staff  
Office of the Chief Financial Officer  
U.S. Department of Education  
Washington, DC 20202-4250

Telephone: 202-245-6120

This is also available on the U.S. Department of Education's Protection of Human Subjects in Research [Web Site](http://www.ed.gov/about/offices/list/OCFO/humansub.html):

[www.ed.gov/about/offices/list/OCFO/humansub.html](http://www.ed.gov/about/offices/list/OCFO/humansub.html)

**NOTE:** The **State Applicant Identifier** on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).



**U.S. DEPARTMENT OF EDUCATION  
BUDGET INFORMATION NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1894-0008  
Expiration Date: 06/30/2017

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs*						
11. Training Stipends						
12. Total Costs (lines 9-11)						

**\*Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

- (1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? \_\_\_\_Yes \_\_\_\_No.
- (2) If yes, please provide the following information:  
Period Covered by the Indirect Cost Rate Agreement: From: \_\_\_\_/\_\_\_\_/\_\_\_\_ To: \_\_\_\_/\_\_\_\_/\_\_\_\_ (mm/dd/yyyy)  
Approving Federal agency: \_\_\_\_ED \_\_\_\_Other (please specify): \_\_\_\_\_ The Indirect Cost Rate is \_\_\_\_\_%
- (3) If this is your first Federal grant, and you do not have an approved indirect cost rate agreement, are not a State, Local government or Indian Tribe, and are not funded under a training rate program or a restricted rate program, do you want to use the de minimis rate of 10% of MTDC? \_\_\_\_Yes \_\_\_\_No. If yes, you must comply with the requirements of 2 CFR § 200.414(f).
- (4) If you do not have an approved indirect cost rate agreement, do you want to use the temporary rate of 10% of budgeted salaries and wages? \_\_\_\_Yes \_\_\_\_No. If yes, you must submit a proposed indirect cost rate agreement within 90 days after the date your grant is awarded, as required by 34 CFR § 75.560.
- (5) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:  
\_\_\_\_ Is included in your approved Indirect Cost Rate Agreement? Or \_\_\_\_ Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is \_\_\_\_\_%

Name of Institution/Organization		Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.				
<b>SECTION B - BUDGET SUMMARY NON-FEDERAL FUNDS</b>						
Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (Lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (Lines 9-11)						
<b>SECTION C – BUDGET NARRATIVE</b> (see instructions)						

# INSTRUCTIONS FOR ED 524

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## GENERAL INSTRUCTIONS

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. You may access the Education Department General Administrative Regulations, 34 CFR 74 – 86 and 97-99, on ED's website at:

<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

**You must consult with your Business Office prior to submitting this form.**

## SECTION A—BUDGET SUMMARY U.S. DEPARTMENT OF EDUCATION FUNDS

All applicants must complete Section A and provide a break-down by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

## INDIRECT COST INFORMATION:

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office.

(1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government.

If you checked “no,” ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:

(a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues a grant award notification; and

(b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

(2): If you checked “yes” in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED, another Federal agency (Other) or State agency issued the approved agreement. If you check “Other,” specify the name of the Federal or other agency that issued the approved agreement.

(3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost

rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

## **SECTION B - BUDGET SUMMARY NON-FEDERAL FUNDS**

If you are required to provide or volunteer to provide cost-sharing or matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

## **SECTION C - BUDGET NARRATIVE** [ATTACH SEPARATE SHEET(S)]

***Pay attention to applicable program specific instructions, if attached.***

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:
  - a. The specific costs or contributions by budget category;
  - b. The source of the costs or contributions; and
  - c. In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.

[Please review ED's general cost sharing and matching regulations, which include specific limitations, in 34 CFR 74.23, applicable to non-governmental entities, and 80.24, applicable to governments, and the applicable Office of Management and Budget (OMB) cost principles for your entity type regarding donations, capital assets, depreciation and use allowances. OMB cost principle circulars are available on OMB's website at: <http://www.whitehouse.gov/omb/circulars/index.html>]

3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.



4. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at:

<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

5. Provide other explanations or comments you deem necessary.

#### **PAPERWORK BURDEN STATEMENT**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1894-0008**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

## **PART III: PROGRAM NARRATIVE**

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This narrative section of the application requires applicants to address the selection criteria that will be used by reviewers in evaluating individual applications. Please refer to the “Selection Criteria and Format” sections in this package for this competition.

Also, the competition covered by this package has page limitations for the application narrative. Please refer to the “Page Limits” information for this competition.

## PART IV: ASSURANCES AND CERTIFICATIONS

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### ASSURANCES—NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

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**Please do not return your completed form to the office of management and budget. Send it to the address provided by the sponsoring agency.**

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**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

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- |  |   |
|--|---|
| 1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.   | amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application. |
| 2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.   |   |
| 3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.  |   |
| 4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.  |   |
| 5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).  | 7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646), which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.  |
| 6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as | 8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.   |

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

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SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

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TITLE

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APPLICANT ORGANIZATION

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DATE SUBMITTED

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Standard Form 424B (Rev. 7-97) Back

## CERTIFICATION REGARDING LOBBYING

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### Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Applicant's Organization	
Printed Name of Authorized Representative	Printed Title of Authorized Representative
Signature	Date

## DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure)

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change  <b>For material change only:</b> Year: _____ quarter: _____ Date of last report: _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier, if Known: _____  Congressional District, if known: _____	<b>5. If Reporting Entity in No. 4 is Subawardee,</b> Enter Name and Address of Prime: _____  Congressional District, if known: _____	
<b>6. Federal Department/Agency:</b> _____	<b>7. Federal Program Name/Description:</b> _____ _____  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$	
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual, last name, first name, MI):</i> _____	<b>10. b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i> _____	
<b>11.</b> Information requested through this form is authorized by title 31 U.S.C. Section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	<b>Signature:</b>	
	<b>Print Name:</b>	
	<b>Title:</b>	
	<b>Telephone No.:</b>	
	<b>Date:</b>	
<b>Federal Use Only</b>	<b>Authorized for Local Reproduction</b> <b>Standard Form—LLL (Rev. 7-97)</b>	

## **INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES**

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This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title and telephone number.

## **PAPERWORK REDUCTION ACT STATEMENT**

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According to the *Paperwork Reduction Act*, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to:

Office of Management and Budget  
Paperwork Reduction Project (0348-0046)  
Washington, DC 20503



## Section I

### Important Notices/Information

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## **NOTICE REGARDING SUBMISSION OF TRAINING MATERIALS TO RSA**

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RSA requires grantees to submit any training materials developed for this project to the National Clearinghouse for Rehabilitation Training Materials (NCRTM) at <https://ncrtm.ed.gov/>, 90 days prior to the end of the grant period of performance. As part of the submission process, training grantees must prepare a 1-2 page description of each material that includes the following information:

- 1) Title of material.
- 2) Author(s) and contact information.
- 3) Intended audience.
- 4) Paragraph describing the purpose and goals of the material, what it is designed to do or address, and what people will know and be able to do as a result of using the material (as applicable).
- 5) Type of material (i.e. curricula, toolkit, training module, outreach, articulation agreement, memorandum of understanding, other. etc.).
- 6) Document file name.
- 7) Format of material (PowerPoint, MS Word document, Excel, Publisher, other, etc.).
- 8) Software version (i.e. MS Office 2000) and file size of the document (100 KB, 2MB, etc.)
- 9) Key words to assist in the search of the material.
- 10) In accordance with EDGAR 76.620(b), grantees must ensure that any published materials include the following statement: "The contents of this (insert type of publication; e.g., book, report, film) were developed under a grant from the Department of Education. However, those contents do not necessarily represent the policy of the Department of Education, and you should not assume endorsement by the Federal Government."

## NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

### **To Whom Does This Provision Apply?**

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

### **What Does This Provision Require?**

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### **What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?**

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.
- (4) An applicant that proposes a project to increase school safety might describe the special efforts it will take to address concern of lesbian, gay, bisexual, and transgender students, and efforts to reach out to and involve the families of LGBT students

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

### **Estimated Burden Statement for GEPA Requirements**

**According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0005.**

# PROGRAM PERFORMANCE MEASURES UNDER THE *GOVERNMENT PERFORMANCE AND RESULTS ACT* (*GPRA*)

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## **WHAT IS *GPRA***

The *Government Performance and Results Act* of 1993 is a straightforward statute that requires all Federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report its progress to the Congress. In doing so, it is expected that *GPRA* will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of Federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

## **HOW HAS THE UNITED STATES DEPARTMENT OF EDUCATION RESPONDED TO THE *GPRA* REQUIREMENTS?**

As required by *GPRA*, the United States Department of Education (the Department) has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the United States. The Department's goals, as listed in the plan, are:

### **Goal 1: Create a Culture of Achievement:**

Create a culture of achievement throughout the nation's education system by effectively implementing the new law, the No Child Left Behind Act of 2001, and by basing all federal education programs on its principles: accountability, flexibility, expanded parental options and doing what works.

### **Goal 2: Improve Student Achievement:**

Improve student achievement for all groups of students by putting reading first, expanding high-quality mathematics and science teaching, reforming high schools, and boosting teacher and principal quality, thereby closing the achievement gap.

### **Goal 3: Develop Safe Schools and Strong Character:**

Establish disciplined and drug-free education environments that foster the development of good character and citizenship.

### **Goal 4: Transform Education into an Evidence-based Field:**

Strengthen the quality of education research.

### **Goal 5: Enhance the Quality of and Access to Postsecondary and Adult Education:**

Increase opportunities for students and the effectiveness of institutions.

### **Goal 6: Establish Management Excellence:**

Create a culture of accountability throughout the Department of Education.

## EXECUTIVE ORDER 12372

### (INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS)

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This program falls under the rubric of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. One of the objectives of the Executive order is to strengthen federalism--or the distribution of responsibility between localities, States, and the Federal government--by fostering intergovernmental partnerships. This idea includes supporting processes that State or local governments have devised for coordinating and reviewing proposed Federal financial grant applications.

The process for doing this requires grant applicants to contact State Single Points of Contact for information on how this works. Multi-state applicants should follow procedures specific to each state.

Further information about the State Single Point of Contact process and a list of names by State can be found at:

[http://www.whitehouse.gov/omb/grants\\_spoc](http://www.whitehouse.gov/omb/grants_spoc)

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# 84.160C, U.S. Department of Education, room 7E200. 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR §75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Eastern Time) on the closing date indicated in this notice.

**Important note:** The above address is not the same address as the one to which the applicant submits its completed applications. **Do not send applications to the above address.**

# **Section J**

**Applicant Checklist**  
**Common Questions and Answers**  
**Program Application Indirect Cost Instructions**  
**D-U-N-S Instructions**

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## APPLICANT CHECKLIST

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Use This Checklist While Preparing Your Application Package.

All items listed on this checklist are required, except as noted.

- ☐ Application for Federal Assistance (SF-424) and U.S. Department of Education Supplemental Information for the SF-424 Form
- ☐ One-page abstract which must include all required information
- ☐ Budget narrative
- ☐ Project narrative
- Note:** Have you addressed all Application Requirements including Selection Criteria and Priorities?
- ☐ Appendix A Attachments
  - Logic model
  - Memorandum of Understanding or a Letter of Intent between the lead applicant, members of the consortium, other proposed training and TA providers, and other relevant partners
  - Conceptual framework for the project
  - Person-loading charts and timelines
- ☐ Other Attachments
  - Resumes of key personnel (should be no more than two pages per person)
  - Bibliography (should be no more than three pages)
- ☐ Budget Information Form – Sections A & B (ED-524)
- ☐ General Education Provisions Act (GEPA) section 427 statement
- ☐ Certifications and assurances:
  - ☐ Assurances – Non-Construction Programs (SF-424B)
  - ☐ Certification Regarding Lobbying (ED 80-0013)
  - ☐ Disclosure of Lobbying Activities (SF-LLL), if applicable
- ☐ Any other forms or information required by the program office for the specific application competition



## COMMON QUESTIONS AND ANSWERS

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### **Q. What happens to my application after it is received in the Department?**

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- A. The Department's Application Control Center receives each application, assigns each an identifying number (PR/Award number), confirms receipt of applications, and sends the applications to the appropriate program office, which screens them for eligibility. The program conducts a peer review of all eligible applications sent to a program competition, ranks them and recommends the highest ranked applications for funding with exceptions as provided by law. The responsible official for the applicable program reviews the program office's recommendations, checks the adequacy of the documentation supporting the recommendations, and approves a final list, or slate, of recommended projects and funding amounts. RSA program staff discusses the recommendations with the successful applicants and award the grants.

### **Q. What happens to my application if the Department finds it to be ineligible?**

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- A. The Department immediately returns an application that does not meet the eligibility criteria for the particular program. A letter from the Department explaining why it is not being reviewed in the competition accompanies the application.

### **Q. How does the Department review an application?**

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- A. Each application is assessed by knowledgeable persons from outside and sometimes inside the Department who are asked for their judgments about the quality and significance of the proposed project. These persons represent a diversity of disciplines and institutional, regional, and cultural backgrounds. The advice of these experts is compiled by Departmental staff who comment on matters of fact or on significant issues that would otherwise be missing from the review. The results are then presented to the responsible official responsible for the program who approves the recommendations for funding.

### **Q. What Criteria do the reviewers use when scoring an application?**

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- A. Reviewers score each application using the selection criteria published in the Federal Register as part of the program regulations, which are given in Section E of this application package. Reviewers are instructed to use only the published criteria.

### **Q. Is a recommended application guaranteed funding?**

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- A. No. Funding is not final until discussions have been successfully concluded and a grant award notification has been signed by the grants office and mailed to the applicant.

### **Q. How do the invitational, competitive and absolute priorities differ?**

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#### **A. Invitational Priority**

The Secretary may simply invite applicants to meet a priority. However, an application that addresses invitational priorities receives no competitive or absolute preference over applications that do not meet this priority.

#### **Competitive Priority**

If a program uses weighted selection criteria, the Secretary may award selection points to an application that meets the priority. These points are in addition to any points the application earns under the selection criteria. The notice states the maximum number of

additional points that the Secretary may award to applications that meet the priority in a particularly effective way. Or the Secretary may simply select applications that meet the competitive priority over applications of comparable merit that do not meet the priority.

**Absolute Priority**

Under an absolute priority, the Secretary may select for funding only those applications that meet the priority.

**Q. Can changes in the size of subsequent year awards be made after the multi-year budget has been negotiated?**

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- A. Yes, a grantee can renegotiate his or her multi-year budget and may be awarded additional funds if sufficient justification is presented to the Secretary and funds are available. Also, funds can be decreased if it is determined that the multi-year budget was overestimated.

**Q. How will funding continuation decisions be made?**

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- A. Grantees will be required to complete annual performance reports that describe the projects' accomplishments, evaluations and finances. These performance reports, along with other information, will be used by the Department to decide whether to continue funding projects.

## Program Application Indirect Cost Instructions

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**Each Program is required to select, and include in its application package, one of the following indirect cost instructions, as appropriate to the program.**

***First Option - For programs reimbursing the full share of indirect costs (Full reimbursement), use the following:***

The Department of Education (ED) reimburses grantees for its portion of indirect costs that a grantee incurs in projects funded by the (NAME OF PROGRAM, 84.xxx). Any grantee charging indirect costs to a grant from this program must use the indirect cost rate negotiated with its *cognizant agency for indirect costs*.

**Note:** Applicants should pay special attention to specific questions on the application budget form (U.S. Department of Education Budget Information Non-Construction Programs Form 524 Sections A, B and C) about their cognizant agency and the indirect cost rate they are using in their budget.

If an applicant selected for funding under this program has not already established a current indirect cost rate with its cognizant agency, ED generally will authorize the grantee to use a temporary rate of 10 percent of budgeted direct salaries and wages, or a de minimis rate of 10 percent of MTDC, as defined in 2 CFR 200.68.

Use of the temporary rate of 10 percent of budgeted direct salaries and wages is subject to the following limitations:

1. The grantee must submit an indirect cost rate proposal to its cognizant agency within 90 days after ED issues the GAN.
2. If after the 90-day period, the grantee has not submitted an indirect cost rate proposal to its cognizant agency, the grantee may not charge its grant for indirect costs (except when ED finds exceptional circumstances) until it has negotiated an indirect cost rate agreement with its cognizant agency.
3. The grantee may only recover indirect costs incurred on or after the date it submitted its indirect cost rate proposal to its cognizant agency or at the start of the of the project period, whichever of the two occurs later.
4. The total amount of funds recovered by the grantee under the federally recognized indirect cost rate is reduced by the amount of indirect costs previously recovered under the temporary indirect cost rate.
5. The grantee must obtain prior approval from the Secretary to shift direct costs to indirect costs in order to recover indirect costs at a higher negotiated indirect cost rate.

6. The grantee may not request additional funds to recover indirect costs that it cannot recover by shifting direct costs to indirect costs.

Use of the de minimis rate of 10 percent of MTDC is subject to the following limitations:

1. In accordance with 2 CFR 200.414(f), State and local governments may not use the de minimis rate; thus, this rate may only be used by institutions of higher education (IHE) and non-profit organizations.
2. A grantee that decides to use the de minimis rate of 10 percent of MTDC must use the rate for at least one fiscal year for all of its Federal awards, and may continue to use the rate indefinitely thereafter until it decides to negotiate an agreement with its cognizant agency. MTDC consists of all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and subawards and subcontracts up to the first \$25,000 of each subaward (i.e., subgrant or subcontract). Once a grantee obtains a federally recognized indirect cost rate that is applicable to its grant, the grantee may use that indirect cost rate to claim indirect cost reimbursement; however, the grantee is subject to the same recovery limitations identified for the 10 percent temporary rate in items (3) through (6) of this grant attachment.

Applicants should be aware that ED is very often not the cognizant agency for its own grantees. Rather, ED accepts, for the purpose of funding its awards, the current indirect cost rate established by the appropriate cognizant agency.

Applicants are encouraged to have an accountant calculate a proposed indirect cost rate using current information from its audited financial statements, actual cost data, or IRS Form 990. Applicants should use this proposed rate in their application materials and describe which of these methods they used to calculate the rate. Guidance related to calculating an indirect cost rate can be found on ED's website at:

<http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>.

Applicants with questions about using indirect cost rates under this program should contact the program contact person shown elsewhere in this application package or in the *Federal Register* application notice of MM/DD/YYYY, (FILL IN FED REG CITE HERE).

***Second Option - For programs with restricted indirect cost rates (Partial Reimbursement).***

The Department of Education (ED) generally reimburses a grantee for its indirect costs. These kinds of costs generally are recovered through an indirect cost rate that the grantee negotiates with its *cognizant agency for indirect costs*.

The statute authorizing (NAME OF PROGRAM, CFDA #) contains a supplement- not-supplant provision that requires a reduction in the indirect cost rate so that costs that are unallowable under the supplement-not-supplant program are not recovered through the indirect cost rate. To ensure that these types of costs are not recovered, ED has established a *restricted indirect cost rate*. The detailed requirements of restricted rates are in the Education Department General Administrative Regulations (EDGAR) at §§75.563 and 76.563-569.

All grantees under supplement-not-supplant programs may only recover indirect costs at the restricted rate. For guidance on how to calculate the restricted rate, an applicant that already has a negotiated indirect cost rate and that plans to submit an application under this program should review ED's website at:

<http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>

The applicant should then use this separate, restricted rate in projecting indirect costs in the budget submitted with its application.

Applicants may have an accountant calculate a proposed restricted indirect cost rate using current information from their audited financial statements and actual cost data. Applicants should use this proposed restricted rate in their application materials and describe which of these methods they used to calculate the rate. Guidance related to calculating a restricted indirect cost rate can be found on ED's website at the above referenced link.

Applicants must bear in mind that items of cost excluded from restricted indirect cost rates may not be charged to grants as direct cost items, nor may they be used to satisfy matching or cost-sharing requirements under a grant or charged to other Federal awards.

If an applicant (that is not a State or local government) selected for funding under a restricted rate program has not already established a current indirect cost rate with its cognizant agency as a result of current or previous funding, ED generally will authorize the grantee to use a temporary rate of 10 percent of budgeted direct salaries and wages.

Use of the temporary rate of 10 percent of budgeted direct salaries and wages is subject to the following limitations:

1. The grantee must submit an indirect cost rate proposal its cognizant agency within 90 days after ED issues the GAN.

2. If after the 90-day period, the grantee has not submitted an indirect cost rate proposal to its cognizant agency, the grantee may not charge its grant for indirect costs (except when ED finds exceptional circumstances) until it has negotiated an indirect cost rate agreement with its cognizant agency.
- (c)
3. The grantee may only recover indirect costs incurred on or after the date it submitted its indirect cost rate proposal to its cognizant agency or at the start of the of the project period, whichever of the two occurs later.
- (d)
4. The total amount of funds recovered by the grantee under the federally recognized indirect cost rate is reduced by the amount of indirect costs previously recovered under the temporary indirect cost rate.
- (e)
5. The grantee must obtain prior approval from ED to shift direct costs to indirect costs in order to recover indirect costs at a higher negotiated indirect cost rate.
- (f)
6. The grantee may not request additional funds to recover indirect costs that it cannot recover by shifting direct costs to indirect costs.

If an applicant other than a State or local government does not want to negotiate a restricted rate with its cognizant agency, the applicant has the option of charging indirect costs at 8 percent of the MTDC of its grant for the life of the grant in accordance with EDGAR §76.564(c), unless ED determines that the actual restricted indirect cost rate is lower than 8 percent of MTDC<sup>6</sup>. If a non-governmental applicant chooses to charge indirect costs at 8 percent of its MTDC, it must maintain records available for audit, demonstrating that the applicant incurred indirect costs of at least 8 percent of MTDC.

If this grant is made to a government under a program subject to a supplement-not-supplant requirement, the grantee must notify the cognizant agency that the grant is subject to a restricted indirect cost rate, as calculated under EDGAR §75.563 and §§76.564-76.569, and must provide ED's Indirect Cost Group with a copy of its indirect cost proposal. The Indirect Cost Group reviews the proposal and adjusts costs, as appropriate, to reduce the rate to the required restricted indirect cost rate.

Applicants should be aware that ED is very often not the cognizant agency for its own grantees. For restricted indirect cost rates, ED will negotiate the rate with grantees and provide the approved restricted rate to the cognizant agency for inclusion on the rate agreement.

Applicants with questions about using restricted indirect cost rates under this program should contact the program contact person shown elsewhere in this

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<sup>6</sup> If the applicant gets funds under another grant that is not subject to the restricted indirect cost rate, it will not have the option of not negotiating an indirect cost rate.

application package or in the *Federal Register* application notice of MM/DD/YYYY, (FILL IN FED REG CITE HERE).

**Third Option - For programs that are designated training grants (Limited reimbursement at 8 percent).**

Some or all of the grants awarded under (NAME OF PROGRAM, 84.xxx) have been designated training grants. The Education Department General Administrative Regulations (EDGAR) limit reimbursement of indirect costs under training grants to non-governmental grantees. These grantees may recover indirect costs under training grants up to the grantee's actual indirect costs as determined by the grantee's negotiated indirect cost agreement or 8 percent of MTDC, whichever rate is lower.

**Note:** This limitation does not apply to State agencies, local governments or federally-recognized Indian tribal governments. [EDGAR §75.562(c)(2)]

Applicants should be aware that indirect cost amounts exceeding the limitation, described in the first paragraph of this section, may not be charged to direct cost categories, used to satisfy matching or cost-sharing requirements, or charged to another Federal award. [EDGAR §75.562(c)(5)]

Although applicants are not required to submit with their application a copy of their indirect cost agreement to claim the 8 percent training rate for funding received in this program, if they are awarded a grant, they must have documentation available for audit that shows that the indirect costs incurred under the grant are at least 8 percent of MTDC.

If an applicant selected for funding under this program has not already established a current indirect cost rate with its cognizant agency as a result of current or previous funding, ED generally will authorize the grantee to use a temporary rate of 10 percent of budgeted direct salaries and wages.

Use of the temporary rate of 10 percent of budgeted direct salaries and wages is subject to the following limitations:

1. The grantee must submit an indirect cost rate proposal to its cognizant agency within 90 days after ED issues the GAN.
2. If, after the 90-day period, the grantee has not submitted an indirect cost rate proposal to the cognizant agency, the grantee may not charge its grant for indirect costs (except when ED finds exceptional circumstances) until it has negotiated an indirect cost rate agreement with its cognizant agency.
- (g)
3. The grantee may only recover indirect costs incurred on or after the date it submitted its indirect cost rate proposal to its cognizant agency or at the start of the of the project period, whichever of the two occurs later.

(h)

4. The total amount of funds recovered by the grantee under the federally recognized indirect cost rate is reduced by the amount of indirect costs previously recovered under the temporary indirect cost rate.
5. The grantee must obtain prior approval from the Secretary to shift direct costs to indirect costs in order to recover indirect costs at a higher negotiated indirect cost rate.

(i)

6. The grantee may not request additional funds to recover indirect costs that it cannot recover by shifting direct costs to indirect costs.

**Fourth Option - For programs that do not provide indirect cost reimbursement under awards (No reimbursement).**

The (NAME OF PROGRAM, CFDA 84.xxx) program does not reimburse grantees for indirect costs they incur in carrying out a project funded under the program. Therefore, applicants should not show any dollar amounts for indirect costs on either line 10 of the U.S. Department of Education Budget Information Non-Construction Programs Form 524 Sections A, B and C, or in their budget narrative.

Applicants should also be aware that unreimbursed indirect costs under grants of this program may not be charged as direct cost items in the same award, used to satisfy matching or cost-sharing requirements, or charged to another Federal award.



## DUNS NUMBER INSTRUCTIONS

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**Note:** Check with your fiscal office to see if your institution has an assigned DUNS before contacting Dun & Bradstreet

**D-U-N-S No.:** Please provide the applicant's D-U-N-S Number. You can obtain your D-U-N-S Number at no charge by calling **1-800-234-3867** or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

[http://www.dnb.com/US/duns\\_update/index.html](http://www.dnb.com/US/duns_update/index.html)

The D-U-N-S Number is a unique nine-digit number that does not convey any information about the recipient. A built in check digit helps assure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide. **Live help Monday-Friday 8am-6pm (EST) Dial 1.800.234.3867**

**Note:** Electronic submission via Grants.gov must use DUNS number your organization used when it registered in the Central Contractor Registry.